



Al Ain University of Science and Technology

Policies and Procedures Manual

2015

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INTRODUCTION

The United Arab Emirates (UAE) is a federation of seven emirates located in the south-eastern corner of the Arabian Peninsula. It is bordered by the Arabian Gulf to the north, Saudi Arabia to the south and west, and the Sultanate of Oman and the Gulf of Oman to the east. The Emirates gained independence in 1971. Its seven member states are Abu Dhabi, Dubai, Sharjah, Ajman, Umm al Quwain, Ras al Khaimah, and Fujairah, with Abu Dhabi as its capital. The United Arab Emirates is important to world energy markets because it contains 98 billion barrels, or nearly 10%, of the world's, proven oil reserves. The UAE also holds the world's fifth-largest natural gas reserves and exports significant amounts of liquefied natural gas. The currency used within the country is the Dirham (AED) which has a fixed rate with respect to the American dollar (USD 1 = AED 3.68).

The Emirate of Abu Dhabi

Abu Dhabi occupies an area of 67339 sq. km (26,000 sq. mi.). Its long coastline - the shallow waters of the Southern Gulf, extending from the base of the Qatar Peninsula in the west to the border of the Emirate of Dubai on the north east - was once the world's best waters for pearling. When the pearling industry declined, oil discovery in the offshore oil fields of the Southern Gulf revived the economy of Abu Dhabi. Abu Dhabi was also the first emirate to export oil from the Umm Shaif offshore field in 1962. The emirate extends south to the oasis of Liwa where some of the world's largest sand dunes can be found, and east to the ancient oasis of Al Ain. This makes Abu Dhabi the largest as well as the most populated of all the emirates. The emirate adopts a wise forestry policy despite its harsh summer climate.

Abu Dhabi City

Abu Dhabi is one of the most modern cities in the world. It is the center of government and business life in the UAE. It is the headquarters of the emirates oil operating companies and embassies. The architecture of its modern buildings and skyscrapers is one of the finest in the Middle East. Abu Dhabi's oil wealth has been wisely utilized to maintain a healthy trade and commerce atmosphere in addition to oil industry. Large gardens and parks, green boulevards lining all the streets and roads, sophisticated high-rise buildings, state-of-the-art communication services, the presence of all the international luxury hotel chains, rich shopping malls, cultural centers and events provide tourists a unique experience all year round.

Al Ain City

Al Ain is the main city in the Eastern Region. It is a fertile area rich in greenery with plenty of farms, public parks and important archaeological sites. Substantial groundwater resources, which feed into numerous artesian wells, also bless it. Al Ain city is indeed the garden of the Gulf.

Al Ain University of Science and Technology

Overview

Al Ain University of Science and Technology (AAU) is a university licensed by the UAE Ministry of Higher Education and Scientific Research. AAU is a new and rapidly growing institution of higher education, which uses English as a medium of instruction. It has two campuses; one in Abu Dhabi, the capital of the UAE, and the other in Al Ain, the 'garden city' of the UAE. Since the establishment of the university in 2005, the university's student enrolment has tripled, and now includes students from the UAE and more than other twenty nationalities. The university offers accredited Bachelor degree programs through its various colleges (the College of Business Administration, the College of Education, the College of Engineering and Information Technology, the College of Law, and the College of Pharmacy). AAU also offers a number of graduate programs on the Diploma and Masters levels.



1. Mission, Organization, and Governance

1. a. Mission, Vision, and Functions

Institutional Licensure and Program Accreditations

Al Ain University of Science and Technology, located in the Emirate of Abu Dhabi, with two campuses in Abu Dhabi and Al Ain, was temporarily licensed in 2004 until 1st July, 2009, and is officially licensed from 1st July, 2009 until 30th June, 2014 by the Ministry of Higher Education and Scientific Research of the United Arab Emirates to award degrees/qualifications in higher education.

Our Vision

AAU aspires to be amongst the leading learning centres in the region, by achieving international quality standards in teaching, research, and Community Engagement.

Our Mission

AAU strives to be a learning center of excellence that responds to market needs and prepares graduates who possess the scientific and technological competencies that are needed for their careers. The university plays an active role in the creation of knowledge through quality teaching and research. It values Community Engagement and nurtures partnerships with institutions and organizations through a commitment to the educational, technological, and economic development of the country and the region.

To accomplish its mission, the university will:

- i. Strengthen the university's commitment to quality undergraduate and graduate programs that are characterized by disciplinary depth and breadth, with a high level of direct interaction between faculty and students.
- ii. Improve the recruitment, retention, and graduation rates within the student body, and increase the number of well-prepared and academically able students who wish to enter a nurturing environment that facilitates the development of competent and creative professionals.
- iii. Continue to recruit and retain a dedicated and culturally diverse faculty body whose teaching is informed by research and embodies learning experiences which enable students to improve academically and personally.
- iv. Secure and strengthen the university's information technology and media services to support both the academic and administrative functions of the university, and the deployment of new and innovative teaching and research technologies as they become available.
- v. Contribute to society in general and the local community in particular, by addressing society's educational, cultural, social, and economic interests.
- vi. Foster research and support faculty members to secure the time, financial support, and cooperative collaborations to maximize their success in research, scholarship, and other creative activities.

Our Values

The strategic decisions and daily operations of AAU faculty and staff draw on the following values:

1. Collaboration
2. Diversity
3. Excellence
4. Respect
5. Integrity

Strategic Plan

Our Goals and Objectives

Goal 1: Strengthen AAU's commitment to delivering quality undergraduate and graduate programs that are characterized by rigorous disciplinary depth and breadth, with a high level of direct interaction between faculty and students. This goal will be achieved by:

- 1.1. Promoting curricular reform and innovation in all areas of the academic program.
- 1.2. Offering a variety of well-supported quality programs that are consistent with the University's educational mission.
- 1.3. Securing needed laboratories, classrooms, and workspaces that are needed for faculty, staff, and students.
- 1.4. Supporting all library functions.
- 1.5. Promoting and supporting the efficient and effective use of technology in the academic and administrative process to enhance curricular needs.

Goal 2: Improve the recruitment, retention, and graduation rates within the student body, while increasing the number of well-prepared and academically able students who wish to enter a nurturing environment that facilitates the development of competent, and creative professionals. This goal will be achieved by:

- 2.1. Developing an effective enrolment management program that is linked to the academic programs' needs.
- 2.2. Improving the positive image of AAU in local high schools, and other educational institutions.
- 2.3. Reviewing and coordinating all enrolment-related offices, programs, services, and activities.
- 2.4. Enhancing the current academic advising process.

Goal 3: Continue to recruit and retain a dedicated and culturally diverse faculty whose teaching is informed by research, and embodies learning experiences that enable students to improve academically and personally. This goal will be achieved by:

- 3.1 Supporting and enhancing the professional stature of the faculty body.

3.2 Implementing and strengthening existing policies that will result in improved communication between faculty and administration, greater faculty input into the decision-making process, and an enhanced sense of shared responsibility for the management of the University.

3.3 Recruiting Emirati AAU graduates who have completed their degree programs with distinction. 8

Goal 4: Secure and strengthen the University's information technology and media services to support both the academic and administrative functions of the University, and the deployment of new and innovative teaching and research technologies as they become available. This goal will be achieved by:

4.1 Providing an adequate and predictable mechanism for funding informational and institutional technologies, so that AAU can satisfy the technology needs of its students, staff, and faculty, now and in the future.

4.2 Strengthening the maintenance and upgrading of the University's information technology infrastructure, facilities, and hardware.

4.3 Strengthening the information technology services and the instructional technology services and support systems that are offered at the University.

4.4 Promoting and supporting the efficient and effective use of academic and administrative technologies that satisfy the faculty and curricular needs.

Goal 5: Contribute to society and the local community in particular, by addressing their educational, cultural, social, and economic interests. This goal will be achieved by:

5.1 Supporting collaborative partnerships with schools, businesses, corporations, government agencies, community organizations, community development organizations, religious institutions, and civic organizations so as to provide, develop, and implement community-building efforts.

5.2 Participating in elementary and secondary education delivery systems so as to improve teaching and learning at all levels.

5.3 Promoting internal and external activities that cultivate positive perceptions of AAU.

5.4 Seeking membership in local, regional, and international associations.

5.5 Collaborating with other academic institutions in the areas of teaching, research, consultancy, and training programs.

Goal 6: Foster research and support faculty members to secure the time, financial support, and collaborations to maximize their success in research, scholarship, and other creative activities. These goals will be achieved by:

6.1 Articulating at the unit level different research activities and plans to achieve research goals.

6.2 Fostering outreach to the community and region, and maintaining an online directory of faculty to assist them in their research.

6.3 Recognizing and rewarding the faculty and staff's efforts in research so as to enhance productivity.

1. b. The Organizational Structure of the University

AAU By-Law

A. Board of Trustees Membership

The AAU Board of Trustees (board) is the governing body of the AAU and the By-Laws covering its membership and protocols include the following:

- I. The AAU board consists of seven members;
- II. Membership includes an appropriate balance of individuals with the range of expertise necessary to guide policies and strategic planning of the institution (i.e., a mix of academic and professional expertise);
- III. There are members representing the UAE community;
- IV. Board meetings are held at least twice annually;
- V. Official records of all board meetings are maintained.

B. Board of Trustees Responsibilities

The Board of Trustees is the legal body responsible for the institution by-law and for policy making. The Board has set proper procedures to ensure that it is appropriately involved in the approval of the financial status and is adequately informed about the stability of AAU, as well as the effectiveness of its leadership and its teaching, research, and public service, as appropriate. The Board of Trustees responsibilities include the following:

- I. Appointment of the AAU president and annual evaluation of his/her performance;
- II. Approval of general institutional policies, on the basis of recommendations from AAU president;
- III. Approval and periodic review of the institutional mission and strategic plan, the AAU board revise the mission according to the strategic plan timeline;
- IV. Approval of educational programs of a quality consistent with the institution's mission;
- V. Conferral, or the authorization of the conferral, of qualifications including honorary degrees;
- VI. Securing of financial resources to adequately support the institutional mission and goals;
- VII. Approval of the annual institutional budget;
- VIII. Approval of major facilities, contracts and campus plans unless otherwise delegated;
- IX. Ensuring that the institution is subject to an annual external financial audit;
- X. Approval of the selection of an external auditor;
- XI. Receipt of the auditor's report, including management letters and other supporting information, and follow-up action as appropriate.

There is a clear distinction, in writing and in practice, between the policy-making and fiduciary functions of the Board of Trustees and the responsibility of the administration and faculty to administer and implement policy.

Chancellor

The Chancellor of Al Ain University is responsible for the following:

- I. To monitor the overall performance of the University in accordance with its vision and philosophy, and to follow up the implementation of the adopted strategic plan.
- II. To look into all external affairs, cultural relations, and the modernization and development affairs at the University, as well as to maintain the University's positive image and its privileges.
- III. To oversee the University's human and physical investments based on the recommendations of the President of Al Ain University.
- IV. To carry out other duties related to the job description for the position in accordance with the University's regulations and policies.

University President

Responsibilities:

The University President is responsible for the following:

- I. Supervising the implementation of the University laws and by-laws and representing the University at public and private occasions.
- II. Overseeing work at colleges and student services.
- III. Approving appointments of faculty members, technicians, administrators and other personnel.
- IV. Preparing University budget.
- V. Submitting academic plans and research agenda to the Deans' Council;
- VI. Overseeing plans for community service, research and cultural relationships with other universities.
- VII. Calling the Deans' Council for meetings, residing over the meetings and overseeing the implementation of its recommendations.
- VIII. Calling the University Council for meetings, presiding over the meetings and overseeing the implementation of its recommendations
- IX. Overseeing the implementation of the University Appointment and Promotion Committee's recommendations.
- X. Assuming other responsibilities authorized by the Board of Trustees.
- XI. The President may delegate some of his/her responsibilities to the Vice-President(s).
- XII. Submitting a detailed annual report to the Board of Trustees summarizing the University achievements and future plans.
- XIII. Monitoring progress of assessment, and quality assurance in the University.
- XIV. Overseeing the effectiveness of the University functions.
- XV. Appointing the University Council Members.
- XVI. Approving the appointing, renewal and termination of appointment of the College Deans.

Vice President(s)

The Vice President (VP) is nominated by the President and is appointed for a designated term of office according to the procedures outlined in the Statutes of the University.

The Vice President of Al Ain University is responsible for the following:

- I. The VP's primary function is to safeguard the academic excellence of AAU and ensure its compatibility with similar institutions, local and international. S/he should have a full grasp of all of the academic tracks that the university's various colleges are pursuing. S/he is the guardian of the academic policies, rules and regulations of the university.
- II. The VP ensures that each program, pursuing its particular ends, corresponds to the overall purpose of the university.
- III. The VP, in collaboration with the Deans, Directors, and Department Heads, determines the selection of teaching staff based on his/her examination of the qualifications of each candidate that is presented for nomination. The VP recommends the rank to be assigned to new teachers.
- IV. The VP, in consultation with the Dean or Director, recommends for approval by the University President all outside teaching and/or other professional or business commitments of faculty members. S/he may refuse to do so if such commitments are deemed excessive, or if they interfere with the proper performance of the faculty member's teaching and research responsibilities.
- V. The VP, in consultation with the University President, and with the relevant Dean or Director, authorizes the establishment of any additional full-time or part-time teaching positions.
- VI. The VP approves all changes in grades and the academic status of students; issues warnings to students in the form of probation; and dismisses students who are seriously deficient in their academic performance.
- VII. The VP, in conjunction with the Deans and Directors, is responsible for the quality of all academic programs. To this end, the VP coordinates methods of evaluating instruction given in the university; oversees the implementation of established procedures regulating the evaluation of teachers; investigates the work load of each teacher; promotes programs for teacher development; and insures that the facilities and budgets that are needed for proper instruction are provided.
- VIII. The VP reviews and follows up on the annual reports of the Deans, Directors, and Department Heads.
- IX. The VP is responsible for formulating a long-term plan for the growth and development of the academic programs of the university.
- X. The VP is responsible, in consultation with the Registrar, for the University's Academic Calendar.
- XI. The VP is a member of the Deans' Council and the University Council.

University Council

The University Council is chaired by the AAU President. It comprises the AAU Vice President(s), the Deans of Colleges, the Dean of Student Affairs, the Dean of Scientific Research and Graduate Studies, Deputy Deans (Abu Dhabi Campus), a representative from each college, the Director of the Quality Assurance and Institutional Research Center, the Financial Manager, the Registrar General, Manager of the Information Technology Center, Director of the English Language Center and two students: one from Abu Dhabi Campus; the other from Al Ain Campus. The Council meets at least once every semester.

The main task of the Council is to prepare the budget of AAU and discuss the financial position of the University. The Council also sets policies regarding the University's involvement in community service. In addition, the Council sets plans for relations with other academic institutions on an international level.

Deans' Council

Membership:

The Deans' Council is chaired by the University President. It comprises the deans of colleges and meets once a week.

Responsibilities:

- I. Implementing the University policies.
- II. Approving plans, which secure the appropriate infrastructure to execute University objectives.
- III. Approving by-laws that govern organizational, financial and executive University affairs.
- IV. Approving by-laws to govern employment and punitive measures that apply to all University personnel.
- V. Approving new University study plans.
- VI. Conferring University academic degrees.
- VII. Setting terms and conditions regarding students' admission and number of accepted students in light of the Ministry of Higher Education overall plans.
- VIII. Directing and overseeing studies aimed at establishing new colleges and new programs.
- IX. Following-up the implementation of college plans for teaching and research.
- X. Approving admission policies.
- XI. Making policies regarding the size and quality of student enrollment.
- XII. Applying for approval of new academic programs and new non-academic units.
- XIII. Making the final decision regarding faculty promotion upon recommendation from the Appointment and Promotion Committee.

College Deans

Responsibilities:

A College Dean is appointed by the University President. The Dean holds a PhD degree and usually holds the rank of Professor. The duration of the appointment for a Dean is two renewable years.

The College Dean is responsible for the following:

- I. Overseeing the preparation of the college academic plan and following-up its implementation.
- II. Coordinating between the academic and administrative units in his/her college.
- III. Submitting proposals regarding recruiting faculty members, technicians and others.
- IV. Overseeing and monitoring the teaching/learning process in his/her college.
- V. Submitting reports at the end of each academic year about the college academic, administrative and financial affairs showing activities, level of performance, study issues, examinations and results and identifying the points of strength and weakness.
- VI. Preparing and submitting annual budget for his/her college.
- VII. Monitoring issues related to student affairs and directing activities for the enhancement of student learning.
- VIII. Proposing and implementing policies that enhance research activities in his/her college.
- IX. Coordinating with Deans of other colleges to enhance University research projects.
- X. Recommending faculty members in his/ her college for promotion.

Dean of Student Affairs

Responsibilities:

The Dean of Student Affairs is responsible for the following:

- I. Directing services offered to students at the University.
- II. Setting up centers or units to better help students overcome their social, psychological, and financial problems.
- III. Overseeing work at the student counseling offices.
- IV. Supervising and monitoring services such as: restaurants, transportation, housing, etc..., and preparing regulations that govern such services.
- V. Organizing various activities for the University's students.
- VI. Forming clubs and societies and formulating rules to control them.
- VII. Organizing seminars, celebrations, academic, and extra-curricular activities.
- VIII. Organizing specialized workshops and training programs to improve modern administration facilities system.
- IX. Establishing various databases for student affairs.
- X. Implementing University decrees regarding his/her directorship.

Dean of Scientific Research and Graduate Studies

Responsibilities:

The Dean of Scientific Research and Graduate Studies coordinates closely with the Deans of the Colleges in all matters relating to scientific research and graduate studies. In addition, the Dean's responsibilities include:

- I. Overseeing the preparation of the academic plans for the graduate programs and following-up their implementation.
- II. Overseeing the process of setting a strategic plan for scientific research.
- III. Monitoring issues related to approved channels and media for publication.
- IV. Preparing and submitting interim and end of year reports in relation to scientific achievement at AAU.
- V. Overseeing the implementation of the decisions of the Scientific Research Council.
- VI. Overseeing graduate students' affairs.

College Council

Membership:

The College Council comprises:

- I. The Dean – Chair.
- II. Deputy Dean.
- III. Department Heads.
- IV. Two of the faculty members selected from college faculty.

The College Council meets once a week or whenever needed.

Responsibilities:

The College Council is responsible for the following:

- I. Overseeing academic plans of various programs in the college and coordinating between them;
- II. Approving students' grades.
- III. Approving students' applications for transfer to the College in accordance with the directions issued by the Deans' Council.
- IV. Recommending conferring academic degrees.
- V. Approving the nomination of new faculty members or teaching assistants, or suggesting their secondment, transfer or granting them scholarships or study leaves.
- VI. Overseeing the scientific research of the college faculty members.
- VII. Appointing standing committees to investigate or study issues within its responsibilities.

Department Council

Membership:

The department council comprises all faculty members within the academic department and is chaired by the Department Head. The Department Council meets twice a month or whenever needed.

Responsibilities:

The Department Council is responsible for the following:

- I. Discussing and approving department plans for teaching, scientific research and community service.
- II. Approving new courses/ programs and recommending them to the college council.
- III. Reviewing and approving suggested textbooks by faculty members.
- IV. Reviewing and submitting nominations of applications for new faculty members and teaching assistants to the college council.
- V. Approving faculty course loads, lectures and field training sessions for individual faculty members and other teaching staff in accordance with the University regulations.
- VI. Reviewing assessment results, and recommending appropriate changes and modification in the study plan, course content and teaching/learning strategies.
- VII. Approving the formation of department committees.
- VIII. Setting the department budget.

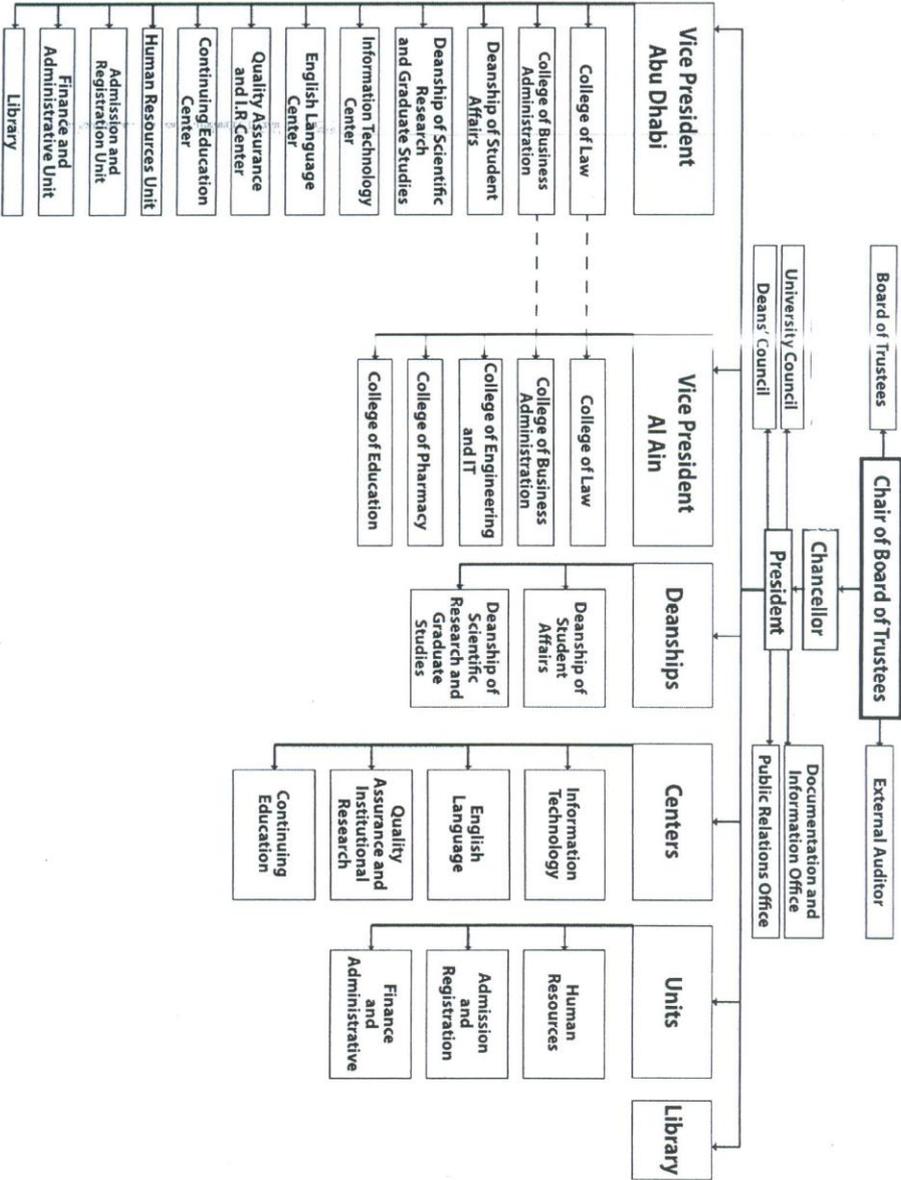
Department Head

Department Heads are appointed by the University President upon nomination from the College Dean.

Responsibilities:

The Department Head is responsible for the following:

- I. Chairing the Department Council and following up its recommendations.
- II. Representing the department in the College Council.
- III. Forming the department committees and following up their activities.
- IV. Approving the department budget.
- V. Chairing the textbooks and timetable committees.
- VI. Supervising the department academic, research and extracurricular activities.
- VII. Chairing the department assessment-committee and following up its activities.
- VIII. Evaluating faculty and staff performance within the department.



Organizational Chart

Organizational Chart

1.c AAU Committees

The Appointment and Promotion Committee

| | |
|--|--------|
| AAU President | Chair |
| Vice President | Member |
| Dean of Scientific Research and Graduate Studies | Member |
| Dean of the College of Engineering and IT | Member |
| Dean of the College of Pharmacy | Member |
| Dean of the College of Law | Member |

The Budget Committee

| | |
|---|--------|
| Dean of the College of Business Administration | Chair |
| Deputy Dean of the College of Business Administration | Member |
| The Financial Manager | Member |
| The Human Resource Manager | Member |
| The Internal Audit | Member |

The Grants and Financial Aid Committee

| <i>Al Ain Campus</i> | <i>Abu Dhabi Campus</i> | |
|-------------------------|--------------------------------|--------|
| Vice President | Vice President | Chair |
| Dean of Student Affairs | Deputy Dean of Student Affairs | Member |
| Registrar General | Registration Officer | Member |
| Financial Manager | Financial Affairs Officer | Member |

The Students' Issues Committee

| <i>Al Ain Campus</i> | <i>Abu Dhabi Campus</i> | |
|--|---|--------|
| Dean of Student Affairs | Deputy Dean of Student Affairs | Chair |
| Dean of the relevant college | Deputy Dean of the College of Law | Member |
| Faculty member from the College of Law | Deputy Dean of the College of Business Administration | Member |
| Registrar General | Registration Officer | Member |

The Quality Assurance Committee

| | |
|---|--------|
| Director of Quality Assurance & Institutional Research Center | Chair |
| Representative from the College of Business Administration | Member |
| Representative from the College of Engineering and Information Technology | Member |
| Representative from the College of Pharmacy | Member |
| Representative from the College of Education | Member |
| Representative from the College of Law | Member |
| Representative from the College of Law – Abu Dhabi Campus | Member |
| Representative from the College of Business Administration – Abu Dhabi Campus | Member |

The Study Plan Committee

| | |
|---|--------|
| Dean of the College of Pharmacy | Chair |
| Dean of the College of Engineering and IT | Member |
| Dean of the College of Law | Member |
| Dean of the College of Education | Member |
| Dean of the College of Business Administration | Member |
| Director of Quality Assurance & Institutional Research Center | Member |

The Community Engagement Committee

| <i>Al Ain Campus</i> | <i>Abu Dhabi Campus</i> | |
|---|--|--------|
| Dean of Student Affairs | Deputy Dean of Student Affairs | Chair |
| Representative from the College of Engineering and Information Technology | Head of the Public Law Dept. | Member |
| Representative from the College of Pharmacy | Head of the Accounting and Finance Dept. | Member |
| Representative from the College of Law | Representative from the College of Business Administration | Member |
| Representative from the College of Education | Representative from the College of Business Administration | Member |
| Representative from the College of Business Administration | Representative from the College of Law | Member |

The Conferences and Seminars Committee

| | |
|---|--------|
| Dean of Scientific Research and Graduate Studies / Representative from the College of Business Administration | Chair |
| Representative from the College of Engineering and IT | Member |
| Representative from the College of Pharmacy | Member |
| Representative from the College of Law | Member |
| Representative from the College of Education | Member |

The Students' Disciplinary Committee

| <i>Al Ain Campus</i> | <i>Abu Dhabi Campus</i> | |
|--|---|--------|
| Dean of Student Affairs | Deputy Dean of Student Affairs | Chair |
| Dean of the relevant college | Deputy Dean of the College of Law | Member |
| Representative from the College of Law | Deputy Dean of the College of Business Administration | Member |
| Faculty member | Faculty member | Member |
| Registrar General | Registration Officer | Member |

The Central Examinations Committee

| <i>Al Ain Campus</i> | <i>Abu Dhabi Campus</i> | |
|--|--|--------|
| Dean of the College of Engineering and IT | Deputy Dean of the College of Law | Chair |
| Representative from the College of Pharmacy | Deputy Dean of Student Affairs | Member |
| Representative from the College of Law | Head of the Public Law Dept. | Member |
| Representative from the College of Education | Representative from the College of Business Administration | Member |
| Representative from the College of Business Administration | Representative from the English Language Center | Member |

The Library Committee

| | |
|---|--------|
| Representative from the College of Business Administration | Chair |
| Representative from the College of Engineering and Information Technology | Member |
| Representative from the College of Pharmacy | Member |
| Representative from the College of Education | Member |
| Representative from the College of Law | Member |
| Library Manager / Al Ain | Member |
| Library Supervisor/ Abu Dhabi | Member |

The Appeals Committee

| | |
|--|--------|
| Dean of the College of Law | Chair |
| Dean of the College of Pharmacy | Member |
| Dean of the College of Business Administration | Member |

Deanship of Scientific Research and Graduate Studies Council

| | |
|---|--------|
| Dean of Graduate Research and Scientific Studies | Chair |
| Representative from the College of Business Administration | Member |
| Representative from the College of Engineering and Information Technology | Member |
| Representative from the College of Pharmacy | Member |
| Representative from the College of Education | Member |
| Representative from the College of Law | Member |

1. d. AAU Policies and procedures

AAU believes in both organization and transparency. Therefore the university attempts to regulate all possible academic and administrative matters in order to facilitate the smooth running of all teaching and non-teaching activities. These policies and procedures explained in relevant sections and are regularly announced to the concerned parties whether faculty, staff or students.

Nevertheless, it is worth mentioning that all policies and procedures are kept in line with the UAE MOHESR standards and other relevant UAE laws.

1. e. Multiple campus coordination policy

In AAU, clarity of coordination is achieved through an organizational structure where hierarchies, responsibilities, and rights are well-defined. The continuous flow of work at AAU ensures transparency in all teaching, research, and community service activities.

With two campuses, in Abu Dhabi and Al Ain respectively, AAU pays close attention to structuring the flow of work through a set of coordination regulations. The organizational chart reveals that although the Abu Dhabi campus colleges and units function independently on a day-to-day basis, they are still connected to the Al Ain campus. Course descriptions, timetables, syllabi, textbook selection, and program development and creation are being organized and carried out jointly through open channels of communication.

Moreover, the Deans' Council, College Councils, and Department Councils meet regularly at both campuses to ensure faculty members coordinate and cooperate at all times. On the administrative levels, unit heads and department managers maintain a continuous and open line of communication with their deputies or supervisors in the other campus ensuring the implementation of the same standards and criteria across AAU campuses.



2. Quality Assurance

2. a. AAU Institutional Effectiveness and Planning Policies

Institutional Effectiveness

The institutional effectiveness process is a central component of the ongoing institution-wide planning process. Furthermore, the process incorporates a systematic review of the University mission and strategic goals to aid in decision-making and improvement. There are two general vitally important purposes for institutional effectiveness: improvement and accountability. The UAE Commission for Academic Accreditation (CAA) expects accredited institutions to demonstrate commitment to continuous quality assurance and enhancement by systematically evaluating the effectiveness of all aspects of its operations and academic programs. (*Standards for Licensure and Accreditation 2011, Standard 2: Quality Assurance*, p. 8). More specifically, the institution should develop, periodically review, and update both short-term operational and long-term strategic plans, which are mission-driven; include goals, objectives, performance indicators and targets; and are linked to the institutional budget; document its planning policies and processes; and ensure that the results of institutional research are used to guide planning, budgeting and resource allocation (*Standards for Licensure and Accreditation 2011, Standard 2.2: Institutional Planning*, p. 9). In addition, the institution should demonstrate that “the results of institutional research are used to modify and improve programs, resources, and services; benchmarking against best local and international practices is deployed as part of the continuous quality improvement process; and improvements are monitored and evaluated. (*Standards for Licensure and Accreditation 2011, Standard 2.4: Continuous Quality Enhancement*, p. 9). The institutional effectiveness plan at AAU is designed to comply with the CAA standards and to cover every academic and administrative unit in the University. The plan combines together three critical integrating processes:

A. **Strategic Planning** (at the institutional level)

B. **Outcomes Assessment** (program/unit level)

C. **Budget Process**

The AAU has its overall long-range plan and each academic and administrative unit in the university has its own plan as well. Given that the University plan depends on each unit’s activities, the performance of these units collectively provides data on the performance of the University plan. To monitor the performance annually, every unit should develop an annual assessment plan to measure its performance during the academic year and to develop annual action plan reflecting performance of the past year and adjusting actions accordingly. The results of the outcomes assessment from university academic and administrative units provide data for colleges and administrative units to develop their own annual operational and long-range strategic plans. At the institutional level, this information as well as information gathered from the institutional outcomes assessment is used to determine the university priorities and accordingly help in resource allocation and long-range planning. Assessment results provide empirical support for decisions

regarding allocation of resources and operational and long-range planning at all levels of the university; program, college, and institution.

The Figure - Institutional Effectiveness Process explains the detailed institutional effectiveness process and illustrates its cyclical nature, with the information provided by one assessment cycle used to refine outcomes, assessment tools, learning experiences, and more in the next cycle towards the achievement of the university mission.

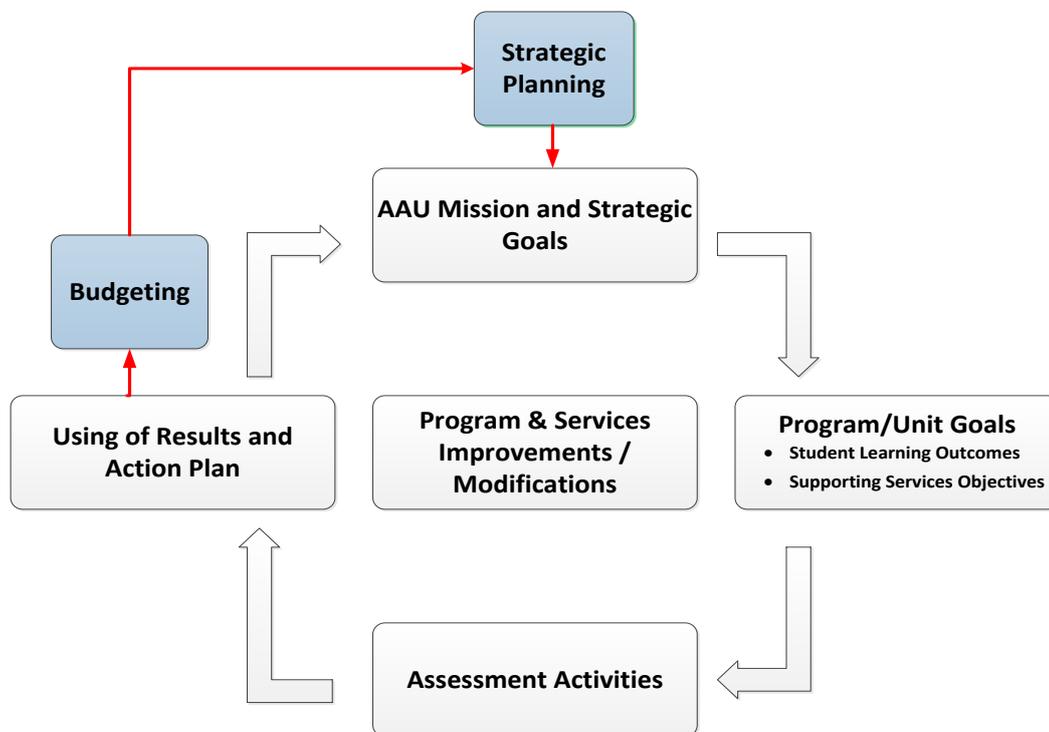


Figure - Institutional Effectiveness Process

Generally, the AAU Institutional Effectiveness cycle works as follows:

- A. All academic programs and administrative units develop outcomes assessment plans in line with the University mission. The plan should include mission, outcomes/objectives and assessment tools in August/September and should be submitted to the Quality Assurance and Institutional Research Center (QAIRC) via the respective Quality Assurance Committees.
- B. Outcomes assessment plans are implemented and then outcomes/objectives are assessed throughout the academic year. The assessment is conducted by the programs/units in cooperation with the QAIRC.
- C. All programs/units should report their findings and any action plan (s) to the QAIRC. The results of assessment will be compiled and annual reports will be prepared and discussed by the Quality Assurance Committees in cooperation with QAIRC. The reports will be forwarded to The Office of the President for further follow-up.
- D. The President will share these reports with his advisory council(s)/committee(s) and generate approved action plans with budget, and resources are allocated to implement these plans.

Strategic Planning

Strategic Planning focuses on the actions taken by the University to implement its mission through improving academic and non-academic processes implemented in the University with the available resources. The long-run Strategic Planning takes place every 5 years. A review of the University mission, as well as a thorough evaluation of the University strengths and weaknesses constitutes the basis for the five-year cycle of planning, implementation, and evaluation. With reference to this strategic plan, the units

develop their specialized plans for the five-year cycle. The current AAU strategic plan consists of a vision statement, mission statement, and six strategic goals designed to enable the University to achieve its vision. This strategic plan establishes the overall direction for the University and serves as the foundation for planning at all levels of the University over the 5-year period. Each of these goals requires multiple University units for completion, and thus requires that cross-functional teams facilitate the continuous improvement process. The AAU current strategic plan has been approved by the AAU Board of Trustees in July 1, 2009 and will be reviewed and updated in June 2014. Nevertheless, the University is conducting periodic reviews of its plan based on the institutional effectiveness results. Moreover, annual operational planning keeps the University on target toward its strategic goals. On an annual basis, each academic and administrative unit evaluates the previous year's activities and plans for the next year. Quality Assurance Committees in collaboration with the QAIRC undertakes institutional effectiveness studies, annual program evaluation and assessment by drawing data and information from the annual planning process. The annual reports and plans should be submitted to the QAIRC and later to the University President for further discussion and final approval.

Outcomes Assessment

Assessment is an on-going institution-wide process of systematic collection and analysis of information to determine how well the institutional mission is being fulfilled by measuring how well students are learning and administrative units are operating. The process is based on defining a program or unit's mission, identifying expected outcomes, continuously monitoring progress towards those outcomes, communicating results among all levels of the university, and using those results to enable improvement of University programs, services and processes.

Purpose of Assessment

The Institutional Effectiveness Plan is a roadmap guiding continuous improvement and constitutes a means for measuring how well the institution pursues its mission. Therefore, the purpose of assessment is to engage the university community (Faculty, students and management) effectively in developing this process. All university partners should benefit from such a process towards the achievement of the University mission and strategic goals.

First, the assessment process can benefit *students* by:

- A. Providing them with clear expectations that help them understand how their work will be evaluated.
- B. Helping them to identify their strengths and weaknesses and set priorities for self-improvement.

Second, outcomes assessment can benefit *faculty* by:

- A. Helping clarify the mission of a program and identifies the knowledge, skills, values, and perspectives that are critical for students to be taught.
- B. Ensuring that graduates of the program have acquired all of the essential skills and values and have achieved all key outcomes.
- C. Improving communication, coordination, and cooperation among faculty members in a program or department and across the university.
- D. Providing better information about what students understand and how they learn so that faculty can adjust their teaching methods, improve their skills as instructors, and build a knowledge base of scholarly research on learning within the discipline.

Thirdly, for *management*, assessment results can be used:

- A. As evidence of quality of teaching for tenure, promotion and salary decisions, grants and other funding, as well as for accreditation from professional associations.
- B. To ensure that the University's strategic plan is being integrated into student learning experiences.
- C. To document the success of a program, unit, or institution for employers, government agencies, and accrediting bodies.
- D. To help make informed decisions about budgeting, new programs, personnel decisions, faculty or staff hires, the need to improve or expand services, and more.
- E. To ensure that resources are being allocated in the most effective way.

Assessment Operational Model

The AAU has developed a uniform process for planning, implementing and reporting assessment activities across all academic and administrative units. All units use a model for assessment plans/reports that includes: mission, expected outcomes, methods of assessment, success targets, results and findings, and use of results. This model is supported by the assessment plan/report templates. The template includes all items that must be addressed by all units in the submission of plans/reports. The figure below shows the operational chart of the outcomes assessment activities managed by QAIRC. The Director of the QAIRC should report to the University President once a year about the continuous quality improvement process and activities at AAU. The University Senior Management shall meet to discuss the annual reports of the QAIRC and endorse the recommendations for continuous improvement.



Figure: Outcomes Assessment Operational Model

Budgeting Process

The budgeting process is closely tied to university goals and is conducted in collaboration among senior management, colleges and administrative units to prepare a detailed budget at unit level. All heads of budgetary units must supply the finance division with any information requested for the university budget. It is the responsibility of each unit to review its strategic plan performance and integrate assessment findings with budgeting requests.

The President, in collaboration with the Budget Committee, reviews each unit's budget and prepares the University budget based on strategic priorities set for the upcoming year for colleges and administrative units/centers.



3. Educational Programs

3. a. Undergraduate Completion Requirements Policy

AAU offers the following accredited academic programs:

Undergraduate Programs

| College | Program | Credit Hours | Campus |
|--|---|--------------|----------------------|
| Engineering and Information Technology | Bachelor of Science in Computer Engineering | 140 | Al Ain |
| | Bachelor of Science in Networks and Communications Engineering | 140 | Al Ain |
| | Bachelor of Science in Computer Science | 123 | Al Ain |
| | Bachelor of Science in Software Engineering | 123 | Al Ain |
| Pharmacy | Bachelor of Science in Pharmacy | 158 | Al Ain |
| Law | Bachelor of Law | 129 | Abu Dhabi and Al Ain |
| Education | Bachelor of Education in English Language Teacher Education | 126 | Al Ain |
| | Bachelor of Education in IT Teacher Education | 126 | Al Ain |
| | Bachelor of Education in Arabic Language and Islamic Studies | 126 | Al Ain |
| Business Administration | Bachelor of Business Administration in Management | 123 | Abu Dhabi and Al Ain |
| | Bachelor of Business Administration in Accounting | 123 | Abu Dhabi and Al Ain |
| | Bachelor of Business Administration in Finance and Banking | 123 | Abu Dhabi and Al Ain |
| | Bachelor of Business Administration in Marketing | 123 | Abu Dhabi and Al Ain |
| | Bachelor of Business Administration in Human Resource Management | 123 | Abu Dhabi and Al Ain |
| | Bachelor of Business Administration in Management Information Systems | 123 | Abu Dhabi and Al Ain |

Study Plan

The study plan for each major offered by AAU within an undergraduate degree consists of the following requirements:

General University Requirements

Thirty three credit hours are allocated for the General University Requirements, which are divided into (i) compulsory requirements of 24 credit hours which all students are to study, and (ii) elective requirements of 9 credit hours, the students are required to choose only one course from each group.

College Requirements

Students are required to complete a number of credit hours as „College Requirements“ for the different colleges. The actual number of credit hours is specified in the University Catalog.

Major Requirements

Students are required to complete a number of credit hours within the different colleges as ‘Major Requirements’. The Major Requirements are divided into compulsory courses and elective courses as specified in the University Catalog.

Free Electives

An allocated number of credit hours which the student chooses according to his/her study plan.

Limits on the Duration of Study for the Undergraduate Programs

- For programs that usually require eight semesters for graduation, the minimum duration of study is six regular semesters. Should the program usually take more than eight semesters to complete, then the minimum duration in which the student can complete the program is eight semesters.
- For programs that usually require eight semesters for graduation, the maximum duration of study is fourteen regular semesters. Should the program usually take more than eight semesters to complete, then the maximum duration in which the student can complete the program is sixteen semesters.
- The minimum and maximum study duration for transfer students is calculated based on the number of transferred credit hours, taking into account the regulations specified above.

Academic Load

The following regulations specify issues relevant to a student’s academic load:

- The maximum number of credit hours for which the students can register is 18 hours ,while the minimum is 9 hours.
- In some special cases, a student may register for up to a maximum of 21 credit hours under the following conditions:
 - I. If the student’s CGPA or SGPA is 3.6 or above;
 - II. If this load will enable the student to graduate at the end of the semester as specified .
 - A student may register for less than 9 credit hours in the semester in which he/she plans to graduate , and a student may register for up to 6 credit hours in the summer session.
 - In special cases, upon the approval of the College Dean, and under the following conditions, a student may register for up to 19 credit hours:
 - in the First Semester if he/she is expected to graduate by the end of the following Second Semester with no more than 21 credit hours;

- in the Second Semester if he/she is expected to graduate by the end of the following Summer Session with no more than 9 credit hours;
- in either the First or Second Semesters if all the remaining credit hours are practicum/ training/ internship courses.

• In the summer session:

- The maximum study load for an undergraduate student is 6 credit hours.
- A student may register for up to 9 credit hours in the summer session:

I. if the student is expected to graduate by the end of the summer session, or

II. if the student's CGPA is 3.60 or above.

- Students whose CGPA is less than 2.00 are directed towards re-taking courses.
- The study load for Diploma students is 6 credit hours.
- The study load for MBA students is 3 credit hours.

The Academic Year

- The academic year consists of two 16-week compulsory semesters, and an optional summer session.
- The Registrar announces the academic calendar of the following academic year during the second semester.
- All religious and national holidays in the United Arab Emirates are official holidays for the university.

Undergraduate Graduation Requirements

A student obtains his/her degree after fulfilling the following requirements:

- I. The student has passed all the required and relevant courses according to the approved Study Plan;
- II. The student has achieved a CGPA of no less than 2.0;
- III. The student has not exceeded the maximum number of years for graduation stated in these regulations;
- IV. The student has spent the minimum study duration and time in learning for the degree;
- V. The student must be registered at AAU during his/her graduation semester;
- VI. VI. The relevant college issues a graduation decision.

3. b. Graduate Completion Requirements Policy

AAU offers the following accredited graduate academic programs:

Graduate Programs

| College | Programs | Credit Hours | Campus |
|-------------------------|--|--------------|-----------|
| Law | Master in Private Law | 33 | Abu Dhabi |
| | Master in Public Law | 33 | Abu Dhabi |
| Education | Professional Diploma in Teaching | 24 | Al Ain |
| | Master of Arts in TESOL | 36 | Al Ain |
| Business Administration | Master Program in: <ul style="list-style-type: none">• MBA- General• MBA- Accounting• MBA- Finance and Banking• MBA- Marketing• MBA – Human Resources Management• MBA- Management Information Systems | 33 | Al Ain |

Graduate Graduation Requirements

A student obtains his/her graduate degree upon fulfilling the following requirements:

- The student has successfully completed all the required and relevant courses according to the approved Study Plan;
- The student has written and defended the thesis (where applicable);
- The student has achieved a CGPA of no less than 3.0 for MA and MBA and no less than 2.0 for Diploma;
- The student has not exceeded the maximum duration for the program;
- The student has spent the minimum duration for the program;
- The student must be registered at AAU during his/her graduation semester;
- The relevant college issues a graduation decision.

3. c. Independent Study Policy

Visiting Students

Individuals may enroll at AAU for knowledge and professional development purposes on either a full-time or part-time basis without obtaining a degree. A visiting student who wishes to study at AAU is required to obtain the approval of the relevant College Dean. If a visiting student who has previously attended courses at AAU wishes to obtain a degree, he/she must meet the admission requirements at AAU and the college in which he/she wishes to enroll.

3. d. Academic Progress Policy

Academic Attendance

Students are expected to attend all scheduled lectures. Absence does not exempt a student from submitting the work that he/she is required to complete within the course requirements. Absences will lead to:

- I. A first warning for absence of 10 % of the course hours;
- II. A second warning for absence of 20 % of the course hours;
- III. A failing grade (FA) in the course for absence of 25 % of the course hours.

A student whose absences exceed 25 % of the course hours may be considered as „withdrawn“ from the course. Should he/she submit an excuse which describes any extenuating circumstances for the absences, these circumstances will be considered and accepted by the course instructor and the Dean of the College.

Course Registration

AAU students in every semester must carry out registration according to the stated dates in AAU's academic calendar, as instructed below:

- I. A student must obtain a registration form from his/her college, and write the courses he/she wishes to register for based on the Study Plan.
- II. A student is not allowed to take a course unless he/she has studied the prerequisite(s) for that course.
- III. The student is not allowed to register for a course and its prerequisite(s) in the same semester, unless these courses are in the final semester before the student plans to graduate, or if the student is re-taking the prerequisite(s). In this case, the student needs to obtain the Dean's approval.
- IV. The student must go to his/her academic advisor to approve the course and then proceed to the Finance Unit.
- V. The student must also go to the Admission and Registration Unit where the data is entered into the student's electronic file after double checking for the presence of the academic advisor's and the Finance Unit's stamps on the form .

Adding and Dropping Courses

During the first week of the semester, or in the first three days of the summer session, a student may add or drop one or more courses after receiving the approval of the academic advisor. In order for a student to drop or add courses, he/she needs to obtain an add-and-drop form from the Admission and Registration Unit, and then follow the same steps required for registration above.

Change of Major

A student may change his/her major provided that he/she meets the following requirements:

- I. The student must submit an application to the Admission and Registration Unit within the period specified in the academic calendar;
- II. The student must meet the admission requirements of the new major or college;

- III. The student should not have been previously dismissed from the department/college that he/she wished to transfer from;
- IV. When a student changes to a new major or college, he/she may select courses which he/she had taken beforehand in order to be transferred(, provided these courses are part of the student's new Study Plan. The grades of these transferred credits are taken into account when the student's CGPA is calculated;
- V. A student is entitled to only one change of major or college throughout his/her enrolment at AAU

Postponement of Study

If a student wishes to postpone his/her studies for a semester, he/she needs to obtain a form from the Admission and Registration Unit, and to submit it to the Admission and Registration Unit before the end of the drop-and-add period of the semester he/she wishes to postpone.

- I. The student may postpone his/her study for a period of time. This period must not exceed two consecutive semesters or four non-consecutive semesters during the entire period of study;
- II. The postponement period will not be considered as part of the maximum study duration;
- III. A new student or a transfer student is not allowed to postpone his/her first semester at AAU;
- IV. A student who has an "Incomplete" grade must remove the "Incomplete" grade before he/she postpones his/her studies.

Withdrawal from AAU

If a student wishes to withdraw from AAU, he/she needs to submit a withdrawal form along with a clearance form .His/her academic record will show as " Withdrawn." Should a student wish to join AAU again, he/she has to re-apply. In the case where the student is accepted to the same major ,the student can keep his/her previous academic record, provided he/she completes the graduation requirements according to the Study Plan that is applicable at AAU at the time of re-joining. If the student is accepted into a different major, point (iv) of the section Changing Major (see above) will apply.

Disenrollment from AAU

In his/her first semester of admission, if a student does not enroll in courses, he/she will lose their AAU student number and will have to obtain a new student number should they wish to re-join. Further, if the student fails to provide an official record of enrollment in courses at AAU for one or more semesters, excluding the summer semester, without an official notification of postponement, then he/she shall be disqualified from reserving a seat at AAU.

Readmission to AAU

Should the student wish to join AAU again, he/she has the right to re-apply. In case where the student is accepted into the same major, the student can keep his/her previous academic record, provided that he/she completes the graduation requirements according to the Study Plan that is applicable at AAU at the time of re-joining.

Studying Courses at Other Institutions

An AAU student who wishes to study courses at another institution may do so according to the following regulations:

1. The number of credit hours taken at other institutions should not exceed 6 credit hours throughout his/her course of study.
2. The student needs to obtain a written approval from the college dean prior to studying at other institutions by filling out the applicable form.
3. The institution where the student wishes to study has to be accredited by the Ministry of Higher Education and Scientific Research.
4. The courses the student wishes to study can only be from the General Requirements or College Requirements.
5. The student must study the last 30 credit hours (two semesters) at AAU regardless the nature of the courses.
6. The courses the student wishes to study must not be offered at AAU during the same semester/session.
7. Students enrolled in courses at AAU are not allowed to study at other institutions simultaneously.
8. The student must obtain C or above in the course for the credits to be transferred.
9. - The study load for students in the summer session is 6 credit hours. He/she may study an additional 3 credit hours at another institution after the summer session at AAU ends in accordance with the above regulations.
 - In case the student studies 3 credit hours at AAU. He/she may study 6 credit hours at another institution after the summer session at AAU ends in accordance with the above regulations.
 - A student who is expected to graduate by the end of the summer session or whose CGPA is 3.60 or above may register for 9 credit hours at AAU.

Studying a Substitute Course

If the student's graduation depends on studying a course that is not offered in the semester in which he/she is supposed to graduate, or if the course time clashes with another course, the student may, upon approval from the College Dean, study a substitute course, provided the number of substitute courses does not exceed two with a total of six credit hours at the most.

Repeating a Course

- A student may repeat a course in order to raise his/her CGPA.
- The student may choose a different elective or free elective, and substitute this for an elective or free elective in which he/she has previously failed.
- If a student repeats a course, the credit hours of the course are calculated as part of the hours required for graduation only once.
- In all cases, the higher grade for a repeated course is calculated into the CGPA.

Academic Warning and Academic Probation

A student receives a first academic warning if his/her CGPA drops below 2.0 by the end of any semester except his/her first semester at AAU. Having received the first warning, he/she is not allowed to register for more than 15 credit hours in the following semester. Should a student fail to raise his/her CGPA to at least 2.0 in the following semester, then he/she will be given a second warning and will not be allowed to register for more than 12 credit hours. Should a student fail to raise his/her CGPA to at least 2.0, the student becomes liable to one of the following actions based on the College Council's decision:

- I. transfer the student to another major within the same college;
- II. transfer the student to another college. A student is given two semesters to raise his/her CGPA after changing his/her major or college. Should the student fail to do this, he/she will be dismissed from the university. If a student has completed at least 75 % of the credit hours required for graduation according to the approved study plan for his/her program, then he/she will not be dismissed from the university, but will be permitted to continue in the same major until he/she reaches the maximum study duration as stipulated in the AAU regulations. The summer session does not count for an academic warning period.

Academic distinction Dean Honor's List

At the end of each semester, the Admission and Registration Unit announces the college Honor's List. A student is included in this list if he/she meets the following requirements:

- i. To obtain on SGPA of 3.6 or higher that semester;
- ii. To be registered for at least 15 credit hours in that semester all of which are included in the GPA;
- iii. Not to have received any disciplinary warnings;
- iv. Not to have an "Incomplete" grade in his/her transcript. The phrase (Dean Honor's List) is added to the student's transcript.

University Honor's List

At the end of each semester, the Admission and Registration Unit announces the University Honor's List. A student is included in this list if he/she meets the following requirements:

- i. To obtain on SGPA of 3.6 or higher for 3 consecutive semesters;
- ii. To be registered for at least 15 credit hours in each of those semesters all of which are included in the GPA;
- iii. Not to have received any disciplinary warnings;
- iv. iv. Not to have an "Incomplete" grade in his/her transcript.

The phrase (University Honor's List) is added to the student's transcript.

3. e. Grading and Assessment Policy

Student Assessment

A student's performance in the courses in which he/she is registered is evaluated according to the assessment processes applied by AAU. The passing grade for a course is %60. The final result of each course is the sum of the grades of the final exam, the midterm exam, and the coursework that is completed by the student. The final grade for a course is out of 100 rounded to the closest whole number as follows:

- I. coursework: 40 %
- II. midterm exam: 20 %
- III. final exam: 40

Course Grading System

AAU uses a letter system in recording the students 'final results in a course'. Each letter is converted to a number of points that are used in calculating the SGPA and CGPA.

| Percentage Grade | Letter Symbol | GPA Points |
|------------------|---------------|---------------------|
| 100- 90 | A | 4.0 |
| 89 - 85 | B+ | 3.5 |
| 84 - 80 | B | 3.0 |
| 79- 75 | C+ | 2.5 |
| 74 - 70 | C | 2.0 |
| 69 - 65 | D+ | 1.5 |
| 64 - 60 | D | 1.0 |
| 60> | F | 0 |
| - | FA | Fail due to absence |
| - | P | 'Pass' |
| - | I | 'Incomplete' |
| - | IP | 'In Progress' |
| - | W | 'Withdrawn' |

Calculation of Grade Point Averages

The SGPA is calculated by multiplying the grade of each course by the number of the course's credit hours, and then dividing the total by the number of total credit hours taken by the student in the semester.

The CGPA is calculated by multiplying the grade of each course by the number of the course's credit hours, and then dividing the total of all courses by the number of total credit hours taken for all previous semesters.

GPA Rating

The SGPA and CGPA are categorized according to the following ratings:

| Grade Point | Rating |
|--------------------|----------------|
| 4.00 - 3.6 | Excellent |
| 3.59 - 3.0 | Very Good |
| 2.99 - 2.5 | Good |
| 2.49 - 2.0 | Satisfactory |
| Less than 2.0 | Unsatisfactory |

Incomplete Grades

A student who is unable to attend the final examination of a course, due to extenuating circumstances during the final examination period, may seek an incomplete grade "I" for that course. The student must submit an "Incomplete" application form which is available from the Admission and Registration Unit within five working days of the final exam.

The student must take the final exam for the course no later than the end of the second week of the following semester, if the student is registered in that semester; otherwise an "F" is recorded for that course.

Re-sit Exams

If a student fails a course in the semester in which he/she is supposed to graduate, the student is allowed to re-sit that final exam after obtaining the approval of the College Dean and paying the required fees. The student's name can be added to the list of graduating students for that semester if he/she has fulfilled all of the graduation requirements.

If the student fails the final exam, he/she must retake the course in the following semester.

Transfer Credits

If a student transfers from a University or college that is accredited by the Ministry of Higher Education and Scientific Research and wishes to transfer the credits for courses successfully completed at the previous University or college, he/she has to submit a course equivalency application to the Admission and Registration Unit where it is referred to the relevant college. Course equivalency is calculated according to the following principles:

- I. The University or college from which the student is transferring must be accredited by the Ministry of Higher Education and Scientific Research.
- II. The student's CGPA should be 2.0 or above.
- III. The student must be a full time student and must have successfully completed at least 9 credit hours.
- IV. The credits for a course are transferred if the student obtained 'C' or above in the course.

- V. The content of the transferred course is equivalent to at least %80 of the content of the course at AAU.
- VI. The credit hours of the transferred course should be the same as that of the AAU course.
- VII. If a student's CGPA is below 2.0, he/she is allowed to transfer credit courses provided that they meet the credit transfer requirements. In such a case, the student must enroll in a major which is different than the major that he/she is transferring from; in case the student does not change his/her major, only university requirements courses will be transferred.
- VIII. The maximum credit hours that can be transferred are %50 of the total credits required for the program at AAU.
- IX. No credit is granted for pass/fail courses.
- X. Transferred credits are not used in calculating the student's CGPA at AAU.

The student can request a revision or appeal a course equivalency decision within two weeks of receiving the decision.

3.f. Examinations Policy

Final Exams

The final exams take place during the 16th week of the semester. The duration of the final exam will be two hours maximum. A student shall not be required to take more than two final examinations on the same day.

Students who are scheduled for more than two examinations on the same day are entitled to reschedule one of the exams and take it on another day during the final examination period.

No tests or examination may be given on any of the seven calendar days that proceed the first day of final examinations, except for practical exams, English Language placement tests, and discussion of graduation projects.

In the summer session, the final examination period consists of the last three scheduled days of the session.

Course grades are to be submitted to the Admission and Registration Unit within 48 hours of conducting the final exam.

Revision of a student's final grade is allowed in exceptional cases which should be justified by the course instructor, in writing, to the College Dean within five days after the grade has been submitted to the Registrar. The Dean, in turn, will present the matter to the College Council and inform the Registrar of the council's decision.

The final exams are supervised by the AAU Examination Committee.

Regulations for Cheating in Academic Work

Cheating in academic work is represented by submitting academic work that is not the student's own. It is also the student obtaining information illegally through different means ;this may include carrying a mobile phone or other unauthorized electronic devices inside the examination hall.

In other words, during an examination, if a student is found in possession of a mobile phone or any other electronic device, causes any noise that may be interpreted as talking, or is suspected by the invigilator to be engaged in any form of unauthorized collaboration, he/she shall be considered cheating

Cheating Penalties

If a student is found cheating or attempts to cheat in a quiz, midterm exam, final exam, and/or any other coursework, the following penalties are applicable:

The student will fail all courses in which he/she has enrolled for during the semester in which he/she was found cheating.

A disciplinary warning will be added to his/her file.

Procedure

The faculty member who finds a student cheating or attempting to cheat in any academic work should report the incident in full detail to the Dean of the College, who, in turn, will report the case to the Student Disciplinary Committee.

The Chair of the Committee will then call for a meeting to discuss the case of cheating and in turn make a suitable decision.

The student may appeal the decision within one week of the issuance of the decision. The appeal is to be submitted to the College Dean who, in turn, will refer it to the AAU President.

3. g. Curricula approval and revision policy

All colleges and academic departments at AAU use the standards of MOHESR as a reference for all academic as well as non-academic activities. When a college or academic department considers suggesting changes to the curricula including course name change, syllabus change, merging courses, etc., the department council discusses the suggestion and weighs the academic impact on the learning process. Next the department council's recommendation is presented to the college council where the matter is examined for recommendation. The recommendation is then sent to the Deans' Council where it is deliberated for approval. If the recommendation is approved by the Deans' Council, the CAA is then informed of the change and any recommendations and feedback from the CAA is taken into consideration before the implementation of the change, revision, or addition.

3. h. Internship policy

1. Introduction to AAU internship

The Practicum (Internship) Program in AAU is a continuation of the learning that takes place on campus and is integrated into the curriculum. The students' work experience in internships neatly complements what goes on in AAU highly interactive classrooms. Because students have practice in applying what they learn, they find it easy to move from the classroom to the workplace. AAU prepares its students throughout their study to be successful in their internship. This is achieved in a variety of ways, including.

- Engaging them in experiential learning activities throughout the curriculum that precedes the internship;
- No student will be approved to do an internship until he/she demonstrates a solid foundation in the theory and practice of his/her discipline;
- Assisting students in the internship placement process by the staff of the Internship offices;
- Supporting students during their internships by academic supervisors;

- Supporting students during their internship by the staff of the Internship office

2. INTERNSHIP CENTRAL OFFICE (ICO)

The University Internship central office (ICO) coordinates the internship activities in the university and provides a formal channel for communication between the University and the internship providers. The main task of the office is to provide quality-training opportunities for students with premier companies and organizations in order to get hands-on experience in their fields of study so that when they graduate they will be more marketable in the work place. The ICO also represents the university in local, national and international meetings and events related to student training and development. The ICO provides its services exclusively to students enrolled in the University, prepares a list of training candidates in the respective college and starts contacting companies and organizations to raise training positions for these candidates. The candidates will then be assigned to these training facilities based on factors like geographical location, GPA, field of work, etc.

3. INTERNSHIP SITES

Internship sites are places in which interns conduct their internship sites. Following are standard requirements for the internship sites:

- They should be safe and reputable environments for intern students
- They should provide pertinent experiences for interns
- They should provide facilities and resources for the interns to enable them to accomplish their assigned tasks and learning outcomes
- They should monitor the progress of the interns and communicate frequently with them to offer constructive feedback.

4. OFFICIAL AGREEMENTS

The Internship Central Office at AAU formats and signs agreement with the internship sites. The agreements define the responsibilities of both parties and are updated to suit AAU and the placement sites.

5. INTERNSHIP PROGRAM TERMS AND CONDITIONS

The following terms and conditions act as guidelines to regulate the internship program for both the intern and the organization.

A. INTERNSHIP ELIGIBILITY CRITERIA:

To qualify for AAU internship program, a student must:

- Be enrolled as regular student in a third or fourth year, or at the appropriate stage, as specified by the respective college internship program.
- Have cumulative GPA not less than 2.0
- Be in good academic and personal standing
- Be able to engage in an extensive internship program lasting approx. 6 weeks at 40 hours per week or as specified by the respective college internship program

B. INTERNSHIP PROGRAM – CONDITION

- Once the student has signed a contract to accept an internship and has registered for the course, he or she is obliged to pay the course fee, and there will be no refunds for the internships course.
- Students will not be paid for the internship.
- No AAU interns will involve themselves in any activities outside the organization expected duties.

C. PROFESSIONAL EXPECTATION OF THE INTERN

Upon joining the internship program, each student (male / female) is expected to:

- Accomplish the workshop training program step by step.
- Adhere to the scheduled training period.
- Adhere to, and stick to the work ethics, and professional rules.
- Be committed to perform all the tasks assigned to the student by his/ her direct supervisor.
- Comply with the regulations and rules applied in the work site.
- Respect and maintain confidentiality with all sensitive organization information
- Inform the faculty supervisor and the field supervisor in case of any illness as promptly as possible, any days missed during the internship will need to be made up toward the end of their internship

In case there is any violation or breach of the above-stated regulation, committed by the student, then both the college and the training organization are authorized to cancel the training program.

D. PROFESSIONAL EXPECTATION OF THE ORGANIZATION

To comply with the standard regulation mentioned under internship sites (page 2) the organization is expected to:

- Ensure the availability of suitable projects and tasks for the intern to engage in for the period of internship.
- Provide facilities and resources for the interns to enable them to accomplish their assigned tasks and learning outcomes
- Monitor the progress of the interns and communicate frequently with them to offer constructive feedback.
- Provide safe and clean work environment to enable the interns to conduct their work safely.
- Will not engage the interns in any significant or sensitive additional assignments without formal approval by the AAU faculty supervisor.
- Provide the AAU internship central office with all intern documents upon the completion of the internship.

Both the field supervisor and the AAU intern hereby confirm that the above terms and conditions have been reviewed, understood and accepted as professional guidelines to ensure a successful internship for both the intern and the organization

6. INTERNSHIP PROCEDURES

A. PROGRAM ADMINISTRATION

Internship Central Office (ICO) coordinates the internship activities between AAU colleges and provides a formal channel for communication between the University and the internship providers. The internship program administrator and the Faculty supervisors coordinate with their students and ICO to set up the internship program. Internship Central Office and the College coordinators will help the student in his/ her internship experience through:

- Internship site selection. Internship offices will develop data banks of sites from which to choose.
- Individual meetings with students to assist in site selection and placement;
- Monitoring of student internships through:
 - site visits;
 - regular communication with the faculty and field supervisors;
 - collection and storage of internship tracking and evaluation records;

B. REGISTRATION PROCEDURES

- Early in the semester prior to the internship, student meets with internship program coordinators and faculty supervisor in his/ her college for a planning session. The program coordinators continue to work with the student throughout the placement process.
- Student completes an application to do an internship. The faculty supervisor signs the application indicating that the student has the approval of the department and ICO office.
- Student investigates suggested internship sites, select one, and arrange for interviews.
- Student finalizes placement.
- During the registration period students register and perform the internship
- The Internship Program Coordinators send information and materials to students, mentors, and faculty a week prior to the beginning of the semester.
- Students begin work on site during the first week of classes of the semester or summer session.
- Throughout the semester, the Internship Program coordinators keep in touch with students.

7. CREDIT HOURS OF THE INTERNSHIP

All internship programs in AAU are for three credit hours except Education and Pharmacy. Education internship program is based on National council for Accreditation of Teacher Education (NCATE) which has 9 credit hours. Pharmacy has its own internship system with a total of 23 credit hours.

8. INTERNSHIP RESPONSIBILITIES

A. **Academic Supervisor** is expected to:

1. Approve an acceptable design statement/proposal for the internship.
2. Monitor the student's progress through weekly reports and provide general guidance and counsel where appropriate.
3. Conduct a site visit during the internship where feasible (or a telephone conference with the field supervisor).
4. Evaluate the student's internship experience based on weekly reports, site visit/conference, final paper, and field supervisor evaluation.

B. **Student Intern** is expected to:

1. Prepare a design statement/proposal with the field supervisor
2. Submit biweekly reports (see sample attached) and maintain regular communication with the faculty sponsor.
3. Fill in the student's evaluation of internship sites (Form 6) at the end of internship period
4. Conform to the personnel policies and practices of the host organization, including maintaining confidentiality.
5. Keep appropriate examples of internship work for a portfolio, recognizing that some work may need to be edited for confidentiality.

C. **Field Supervisor** is expected to:

1. Assist the student in preparing the internship design statement/proposal.
2. Provide facilities, equipment, resources, and schedule for the intern that offers the best possible educational experience.
3. Supervise the student's work (or delegate supervision to others where appropriate), providing regular coaching and feedback, helping the student integrate theory and practice.
4. Notify the faculty supervisor if the intern is not meeting expectations.
5. Maintain organizational rights to any work produced by the intern during the internship.
6. Prepare a written evaluation of the intern's performance within a week of the conclusion of the internship to be sent to the faculty supervisor.

10. EVALUATION OF STUDENT PERFORMANCE

Students in all AAU internships are evaluated by two parties: the field supervisors and the Faculty (academic) advisors. This system ensures that the interns obtain feedback from the field in which they deal with the real world in the profession. In addition they obtain feedback from their academic supervisors who provide them with their program prospective. The evaluation process is recommended to be as follows:

1. Student Weekly Progress Reports: (10%)

These reports are submitted once a week. They are assessed both by the field supervisor and the academic supervisor (See internship form 2)

2. Field Supervisor Report: (30%)

The field supervisor is asked to fill out a final report in which he gives his assessment of the trainee's performance during the training period

3. Academic Supervisor Report: (40%)

Academic supervisor visits the trainee once a week and discusses his progress with the field supervisor. The Academic supervisor fills out a final report in which he gives his assessment of the trainee's performance during the training period.

4. Student Final report: (20%)

This report can take the form of a log or portfolio that includes the following:

- Cover page: Name, department, training company, and year.
- Table of Contents.
- Abstract (brief summary of the training experience in simple terms).
- Introduction: Description of the company's organization and the role of the division at which the intern receives training.
- Completion of trainee's main duties during the internship period.
- Relevance of the tasks completed.
- Quality of the work performed
- Degree of benefits gained from the program, with brief account of the points of strength and weakness, and some suggestions for improvements.
- Problems faced and strategies used to carry out assignments; and constraints.
- Contribution to the organization.

The above mentioned percentages of the evaluation process are subject to changes according to the college internship program.

10. INTERNSHIP FORMS

The following forms are used in different stages of AAU internship programs:

1. Student Application form.

Student Internship Application Form (Form 1)

PHOTO

| | |
|-------------------------------------|---|
| Student Name: | |
| Student ID: | |
| Gender: | <input type="checkbox"/> Male <input type="checkbox"/> Female |
| Nationality: | |
| College: | |
| Major: | |
| GPA: | |
| Credit Hours Earned: | |
| Expected Graduation Semester / Year | |
| Address: | |
| Home Tel: | Mobile: |
| E Mail Address: | |

| | | |
|--|------------|---------------|
| Emirate where you would like to get the internship: | | |
| Details of the internship site you are interested in (<i>Note that you have to accept other preference, if the ICO can't meet you</i>) | | |
| Organization Name: | | |
| Contact person: | Job Title: | Phone Number: |
| Fax Number: | | |
| For ICO use only: | | |
| Date Received:/...../..... | | |
| Comments: | | |

2- Student weekly Report

Student weekly Report (Form 2)

Form / / to / /

Student Information:

| | |
|------------------------|--------|
| Student Name: | |
| Student ID: | Major: |
| Training organization: | |

Activities Performed by the student during the week:

| Day | Activities | Department | No. of Hours |
|-----------|------------|------------|--------------|
| Saturday | | | |
| Sunday | | | |
| Monday | | | |
| Tuesday | | | |
| Wednesday | | | |
| Thursday | | | |

Total working hours: -----

Comments: (specify the assignments and the learned / applied skills)

| | |
|--------------------------------|-----------------------------|
| Student Signature: | Field Supervisor Signature: |
| Academic Supervisor Signature: | |
| Days Absent ----- days | Times Late: ----- times |

3- Field Supervisor Evaluation Report

Field Supervisor Evaluation of Student Performance (Form 3)

(To be filled by the Field Supervisor and returned directly to the ICO)

Student Name: _____ Student ID. _____

Organization: _____ Address: _____

Supervisor's Name: _____ Phone: _____ Fax: _____

Email: _____

| Criteria | Poor | Fair | Good | Very Good | Excellent | Comments (Be specific and support your rating) |
|---|------|------|------|-----------|-----------|--|
| Attendance | | | | | | |
| Amount of work completed | | | | | | |
| Quality of work | | | | | | |
| Attention to detail / Accuracy | | | | | | |
| Communication skills | | | | | | |
| Ability to resolve problems | | | | | | |
| Working in a team and interaction at work | | | | | | |
| Writing skills | | | | | | |

Additional Comments & Suggestions regarding performance evaluation:

Field Supervisor's Signature:

Date / /

4- Academic Supervisor Evaluation Report

Academic Supervisor Evaluation of Student Performance (Form 4)

| Evaluation of Student Performance By Academic Supervisor | | |
|--|-------------------------------|---------------------------------|
| Supervisor Name: | | |
| Student Name: | | |
| Student ID: | | |
| Student Gender: | <input type="checkbox"/> Male | <input type="checkbox"/> Female |
| Student Major: | | |
| Organization Name: | | |

| ACADEMIC PREPARATION | | | | | | |
|--------------------------|------|------|------|-----------|-----------|--|
| Criteria | Poor | Fair | Good | Very Good | Excellent | Comments (Be specific and support your rating) |
| Learning skills | | | | | | |
| Performance | | | | | | |
| Peer interaction | | | | | | |
| Relation with supervisor | | | | | | |
| Following instructions | | | | | | |
| Attendance | | | | | | |

| SKILLS DEVELOPMENT | | | | | | |
|-------------------------------------|------|------|------|-----------|-----------|--|
| Criteria | Poor | Fair | Good | Very Good | Excellent | Comments (Be specific and support your rating) |
| Attendance | | | | | | |
| Creative thinking | | | | | | |
| Computer Skills | | | | | | |
| Communication in English | | | | | | |
| Teamwork | | | | | | |
| Adaptability to change | | | | | | |
| Application of conceptual knowledge | | | | | | |

Additional Comments & Suggestions regarding performance evaluation:

Academic Supervisor's Signature

Date

ASSESSMENT OF THE INTERNSHIP

Assessment of the internship will be achieved through the following reports prepared by the student and his academic supervisor.

5- Academic Supervisor Evaluation of internship performance

Academic Supervisor Evaluation of Internship Performance (Form 5)

Academic Supervisor Name: _____

Academic Supervisor File Name: _____

Student Gender Male Female

College:

Major:

Organization Name : _____

Training Sector Public Private Others

General Evaluation

| Items | Poor 1 | Fair 2 | Good 3 | V. Good 4 | Excellent 5 |
|-------------------------------------|-----------|-----------|-----------|--------------|----------------|
| Organization Experience | | | | | |
| Organization seriousness | | | | | |
| Working conditions | | | | | |
| Cooperation of staff and officials | | | | | |
| Field supervisor experience | | | | | |
| Training hours | | | | | |
| Implementation of the training plan | | | | | |
| Student Benefit from training | | | | | |

Additional Comments & Suggestions regarding weakness and strength of the organization:

Do you recommend this organization for future training? Yes No

If your answer is No, Why?

Academic Supervisor signature: _____

Date: _____

6- Student Evaluation of Internship placements & skills Development

Student Evaluation of Internship Placements & skills Development (Form 6)

Winter / Summer _____

Student Name : _____

Student ID : _____

Student Gender Male Female

Organization Name : _____

Training Sector Public Private Others

General Evaluation

| Items | Poor 1 | Fair 2 | Good 3 | V. Good 4 | Excellent 5 |
|-------------------------------------|-----------|-----------|-----------|--------------|----------------|
| Academic preparation | | | | | |
| Learning skills | | | | | |
| Performance | | | | | |
| Peer interaction | | | | | |
| Relation with supervisor | | | | | |
| Following instructions | | | | | |
| Attendance | | | | | |
| Skills Development | | | | | |
| Analytical Skills | | | | | |
| Creative thinking | | | | | |
| Computer Skills | | | | | |
| Communication skills (English) | | | | | |
| Teamwork | | | | | |
| Adaptability to change | | | | | |
| Application of conceptual knowledge | | | | | |

Additional Comments & Suggestions regarding weakness and strength of the organization:

Do you recommend this organization for future training? Yes No

If your answer is No, Why?

Student signature: _____

Date: _____

3. h. Course file

All colleges and academic departments at AAU keep a course portfolio for each course offered at the university. The course contents are arranged in line with the CAA standards and are updated regularly. Course instructors are responsible for updating the relevant course portfolios while it is the department head/college dean's responsibility to follow up on the proper updating of the course files.

3. i Class size

AAU believes in quality education and seeks to provide the best learning experience to the students. Therefore, classroom sizes are considered carefully when assigning courses or when identifying the maximum number of students.

Comfortable seating, access to learning resources, and proper ventilation are some of the numerous factors AAU units look into when distributing classrooms.

3.k. Intensive Modes of Course Delivery

Other than two regular semesters (16 weeks), the AAU offers one or two optional summer sessions of. In the summer session:

- The maximum study load for an undergraduate student is 6 credit hours.
- A student may register for up to 9 credit hours in the summer session:
 - i. if the student is expected to graduate by the end of the summer session, or
 - ii. if the student's CGPA is 3.60 or above.
- Students whose CGPA is less than 2.00 are directed towards re-taking courses.
- The study load for Diploma students is 6 credit hours.
- The study load for MBA students is 3 credit hours.

However, there are no other modes of intensive delivery at AAU.



4. Faculty and Professional Staff

4. a. Faculty and Professional Staff Role Policy

Job description for Faculty Members

Summary of Position:

Faculty members at AAU are responsible for the planning, preparation, delivery, and coordination of courses. The minimum related activities required include teaching, academic advising, research, serving at college as well as university committees, engaging in community service, and participating in national, regional, and international professional organizations. In addition, the faculty member performs all other duties assigned by the Department Head, College Dean, Vice President, or President.

Reporting:

A faculty member at AAU reports directly to the relevant Department Head.

Major Responsibilities:

The major responsibilities of the faculty members at AAU include, but are not limited to, the following areas:

- Teaching
- Student advising
- Taking part in committees on different levels
- Participating in community service
- Conducting research
- Joining professional associations

For a detailed list of duties and responsibilities, please refer to (Section 2).

Performance Evaluation:

Faculty members shall be evaluated annually on the basis of teaching, university and community service, and research activities. The Faculty Member Evaluation section details the criteria and procedure for performance evaluation (Section 4.h.).

Qualifications:

The qualifications for faculty members shall be in accordance with the applicable requirements specified by the AAU which are in line with the standards and regulations of the Commission of Academic Accreditation (Refer to Section 4.g.)

Definition and categories of AAU staff

1: Professional Staff:

Professional staff is defined as having the required preparation and specialized knowledge in a specific field and in exercising independent professional judgment. These individuals are predominately responsible for the management, operation, and implementation of policies and procedures which support the AAU's mission.

2: Support Staff:

Support staff includes employees who provide clerical, technical, maintenance, and administrative support to the University.

3: Academic Staff:

Academic staff includes the professionals who are responsible for planning, directing and undertaking academic teaching, research and community engagement activities in the university.

4: Non Academic Staff:

Non academic staff is defined as those who have to perform work assignments other than teaching.

5: Full Time Staff:

Full time staff is defined as the person who undertakes his/her duty for no less than 40 hours a week. Full time staff is registered at Ministry of Labor and has an employment contract stipulating tenure of contract, specific benefits including but not limited to fixed salaries, annual leaves, health insurance, etc.

6: Part Time Staff:

Part time staff is defined as the person who undertakes the duty for less than 40 hours a week. Usually part time staff is paid on hourly basis.

4. b. Employment and Promotion Policies

Faculty Recruitment and Appointment

The main concern of the staff involved in the recruitment process at AAU is the selection of the most qualified candidates in their respective areas of specialization. An excellent academic record, research potential, and effective teaching performance are important criteria for the selection of faculty members.

The faculty recruitment procedure begins with an initiative taken by the Dean which includes a description of the position, duties, and responsibilities that the faculty position entails, and a justification for the vacant position. The candidate is asked to submit an application form, and other required documents, to the Human Resources Unit. All applications are sent to the academic department concerned for evaluation.

AAU has a non-discriminatory recruitment policy with respect to an applicant's gender, race, religion, or physical disabilities. Selection criteria include the following:

- I. academic performance, and the academic reputation of the institution that granted the degree held by the candidate;
- II. proficiency in the field to be taught and the ability to integrate knowledge to related subject areas;
- III. experience in teaching and the application of knowledge in the particular field of specialization;
- IV. work published and lecturing experience;
- V. knowledge and understanding of the philosophy, goals, and objectives of AAU

A Departmental Recruitment Committee and the Department Head review the documents that are submitted by candidates for employment. The best-qualified candidates are recommended to the Dean of the College for approval and submission to the Vice-President of Academic Affairs, who, in turn, reviews the candidates once more before submitting a ranked list of candidates to the University President for final approval.

Promotion Policies

AAU faculty members are promoted in accordance with the rules stated below which include performance in the areas of teaching, university and community engagement, and research.

The faculty member's teaching performance is evaluated periodically by the students, Department Head, Deputy Dean, and College Dean. The faculty's commitment to the syllabus, creativity, and innovative teaching methods plays a great role in the evaluation. Moreover, the services the faculty member renders to both the University and the community are monitored. The level of the involvement and the type of engagement contribute in the assessment. Finally, the faculty member's scholarly activity remains the most important factor in the promotion process. A faculty member applying for promotion needs to meet the requirements of research and publication as set by AAU.

A faculty member shall only be entitled to apply for promotion after the passage of two years from his/her appointment as a full-time faculty member in AAU. Applications for promotion can be submitted during the first and second semesters. The college dean, in consultation with the academic department, should decide whether to proceed with the application within one month. Given that the committee decided to proceed with the application, the application should be forwarded to the University Appointment and Promotion Committee.

A faculty member applying for promotion needs to obtain a rating of at least (good) in both the teaching and community service evaluation reports prior to sending the papers to the external referees. All papers submitted as part of the application for promotion are to be sent to three external referees. In order for the applicant to be considered for promotion, he/she must receive:

- A "strong" recommendation from two out of the three referees to be promoted to Associate Professor.
- A "strong" recommendation from all three external referees to be promoted to Professor.

Promotion to the rank of associate professor

In order to be promoted to the rank of associate professor, the candidate must fulfill the following conditions:

- I. He/she should have served a minimum of five years as a full time assistant professor at AAU or any other accredited college or university, provided that the last two years of his /her service are at AAU. The faculty member may apply for promotion after having served for four years and six months instead of five, provided he/she meets the other requirements.
- II. He/she must have research work published or accepted for publication in refereed journals while the candidate was an assistant professor.
- III. He/she must present a minimum of five scientific papers (three of which have been published).
- IV. One of the published articles should be published in a first order journal as defined by the university.
- V. The candidate should be the sole author of at least two of the submitted publications.
- VI. At least two of the papers must be published, or accepted for publication, during the faculty's work at AAU.

Promotion to the rank of Professor

In order to be promoted to the rank of professor, the candidate must fulfill the following conditions:

- I. He/she must have served a minimum of five years as a full time associate professor at AAU or any other accredited college or university, provided that the last two years of his /her service are at AAU. The faculty member may apply for promotion after having served for four years and six months instead of five, provided he/she meets the other requirements.
- II. He/she have research work published or accepted for publication in refereed journals while the candidate was an associate professor.
- III. He/she must present a minimum of seven scientific papers. At least four of the papers should have been published while the other three can be accepted for publication. The papers should not have been used in the previous promotion.
- IV. Two of the published articles should be published in first order journals as defined by the university.
- V. The candidate should be the sole author of at least two of the submitted publications.
- VI. At least two of the papers must be published, or accepted for publication, during the faculty's work at AAU.

Required Documents for Academic Promotion

FIRST: Documents required by the applicant (Faculty member):

- I. Cover letter to the Department Head applying for promotion.
- II. A completed application including the faculty member's details (the form can be obtained from the College Deanship).
- III. A declaration that the papers submitted as part of the application for promotion are not based on the MA thesis or PhD dissertation.
- IV. A letter that states the general and specific disciplines of the faculty member.
- V. Detailed, comprehensive curriculum vitae.
- VI. Brief curriculum vitae.
- VII. Letter of service (for faculty who have worked at AAU for less than 5 years).
- VIII. List of publications according to date of publication; listed and numbered in a separate table.
- IX. Five copies of each academic work presented as part of the promotion application.
- X. A separate table listing the publications by date of publication.
- XI. Letter of acceptance for each paper accepted for publication.
- XII. In addition to the above, the faculty member applying to be promoted to the rank of Professor needs to submit the following:
 - a) the Deans' Council's decision to be promoted to Associate Professor;
 - b) a list of the scientific papers based on which he/she received the promotion to Associate Professor;
 - c) a declaration that all work submitted for promotion to the rank of Professor has been published after being promoted to Associate Professor.

SECOND: Documents required by the Department Head:

- I. The minutes of the Department Council’s meeting which should include:
 - a) a paragraph indicating that the Department Council has discussed the application and has decided that the application has met the requirements in accordance with the applicable promotion regulations at AAU;
 - b) A paragraph indicating forming a scientific committee whose members are of a higher rank than the applicant to look into the scientific papers submitted for promotion.
- II. The decision of the scientific committee (confidential).
- III. An official letter from the Department Head to the College Dean explaining the Department Council’s recommendation to precede with the promotion procedures listing the attached documents.

THIRD: Documents required by the College Dean:

- I. The minutes of the College Council’s meeting which should include:
 - a) a paragraph indicating that the College Council has discussed the application and has decided that the application has met the requirements in accordance with the applicable promotion regulations at AAU;
 - b) A paragraph indicating forming a scientific committee whose members are of a higher rank than the applicant to look into the scientific papers submitted for promotion.
- II. The decision of the scientific research committee (confidential).
- III. An official letter from the College Dean to the AAU President regarding the promotion application including the date and number of the College Council’s meeting as well as the College Council’s recommendation to proceed with the promotion procedure. The letter should also include the applicant’s name, discipline, and attached documents.

Report (Teaching, University, and Community Service) for the promotion of faculty members

The applicant’s details:

| | |
|--|--|
| Full name | |
| Department | |
| College | |
| Specific discipline | |
| University where the last degree was obtained Country | |
| Year of graduation | |
| The rank of appointment at AAU | |
| Date of appointment | |
| Current rank | |
| Date of receiving current rank | |
| Signature | |
| Date | |

Note:

Please briefly state your opinion on each of the following items, and then rate them accordingly.

(Excellent, Very Good, Good, Satisfactory, Poor)

FIRST: Teaching

| No. | Statement | Excellent | Very Good | Good | Satisfactory | Poor |
|-------|--|-----------|-----------|------|--------------|------|
| 1 | Teaching all courses assigned by the department in the area of specialization | | | | | |
| 2 | Accommodating the learning objective and outcomes within the curriculum | | | | | |
| 3 | Diversifying teaching methods | | | | | |
| 4 | Directing students towards various readings and encouraging them to conduct practical and applied research | | | | | |
| 5 | Effective participation in the students' academic, professional, and personal advising | | | | | |
| 6 | Supervision of students' papers and projects | | | | | |
| 7 | Development of assessment methods based on thinking and reasoning rather than spoon feeding | | | | | |
| 8 | Development of study plans for different departments at the college | | | | | |
| 9 | Contribution to the development of new programs at the college to meet the community's needs | | | | | |
| 10 | Participation in MA and PhD dissertation discussions internally and externally | | | | | |
| 11. A | Commitment to working hours and office hours | | | | | |
| 11. B | Commitment to times of lectures and exams | | | | | |
| 12. A | Concern for self-development professionally and academically | | | | | |
| 12. B | Keeping up with recent developments and employing them in the academic performance | | | | | |
| | Overall rating | | | | | |

SECOND: University and College Service

| No. | Statement | Excellent | Very Good | Good | Satisfactory | Poor |
|-----|--|-----------|-----------|------|--------------|------|
| 1 | Participation in department and college committees | | | | | |
| 2 | Participation in the University committees as well as the social and scientific activities | | | | | |
| 3 | Performance of administrative duties for the University | | | | | |
| 4 | Participation in technical or preparatory committees to scientific conferences at the University | | | | | |
| 5 | Supervising graduate theses | | | | | |
| 6 | Participation in refereeing scientific research internally or externally | | | | | |
| 7 | Receiving a local or an international award | | | | | |
| 8 | Conducting scientific work or research through which he/she renders a service to the University | | | | | |
| 9 | Participation in the editorial board of a scientific journal | | | | | |
| 10 | Participation in a panel for a scientific award | | | | | |
| | Overall rating | | | | | |

THIRD: Community Service

| No. | Statement | Excellent | Very Good | Good | Satisfactory | Poor |
|-----|--|-----------|-----------|------|--------------|------|
| 1 | Participation in seminars and cultural events | | | | | |
| 2 | Giving lectures outside the University to spread awareness in the community | | | | | |
| 3 | Providing consultation or advisory services within the range of community service | | | | | |
| 4 | Conducting a study commissioned by the University or other institutions to benefit the community | | | | | |
| 5 | Communication with the community through field visits conducted by the faculty member and students | | | | | |
| 6 | Participation in different community religious, national, social, or other events | | | | | |
| 7 | Conducting training courses aimed at human resource development in the community | | | | | |
| 8 | Conducting different on-campus and off-campus workshops targeted at the members of the community | | | | | |
| 9 | Presenting the results of studies and research to the community to take advantage of them | | | | | |

| | | | | | | |
|----|--|--|--|--|--|--|
| 10 | Providing individuals as well as private and public institutions with information that helps the development of certain issues | | | | | |
| 11 | Discussion of a problem in the community which the University can help solve | | | | | |
| 12 | Participation in voluntary organizations in the community | | | | | |
| | Overall rating | | | | | |

FOURTH: Other Characteristics

| No. | Statement | Excellent | Very Good | Good | Satisfactory | Poor |
|-----|---|-----------|-----------|------|--------------|------|
| 1 | Establishing successful, positive relations with the students | | | | | |
| 2 | Establishing professional and social relations with colleagues at the college and university levels | | | | | |
| 3 | Communication and intellectual dialog with colleagues at the University | | | | | |
| 4 | Acceptance of other views; possessing leadership qualities | | | | | |
| 5 | Compliance with the University's regulations and their implementation | | | | | |
| 6 | Maintaining the University's reputation and scientific status | | | | | |
| 7 | Initiative and the ability to present new ideas | | | | | |
| | Overall rating | | | | | |

FIFTH: The Recommendation

Department Head

College Dean

Name: _____

Name: _____

Rank: _____

Rank: _____

Signature: _____

Signature: _____

Date: _____

Research (Publications)

- I. Research published or accepted for publication in refereed journals.
- II. Refereed research work submitted to refereed conferences or specialized scientific symposia provided it is published in full in conference proceedings, or accepted for publication. Only one paper will be accepted for each rank.
- III. Refereed research published or accepted for publication, by specialized university research centers. Only one paper of this item will be accepted for each rank.
- IV. Refereed university textbooks and reference books. Only one book of this item will be accepted for each rank.
- V. Refereed editions of rare books. Only one book of this item will be accepted for each rank.
- VI. Refereed translations of specialized books. Only one book of this item will be accepted for each rank.
- VII. Inventions and patents of creative products from patent offices approved by the council for academic affairs.
- VIII. Creative work in accordance with the rules set by the university council.

Any item of the above must not be taken from the candidate's Master's thesis, Doctoral dissertation, or the researcher's previous publications.

Professional Staff Recruitment

The objective of the Recruitment policy is to define the basic principles to be used to ensure that the right applicants are recruited for the right positions and the recruited employees possess the required qualification, experience, set of skills and knowledge to perform their job effectively and efficiently.

Recruitment Regulations:

- The Human Resources Unit is responsible for the coordination of all procedures involved in the recruitment process.
- AAU shall give preference to UAE national over non national and internal candidate over external provided they are equally qualified.
- The successful applicant must fulfill the following requirements:
 - ✓ To be physically fit and free from transferable diseases.
 - ✓ To have good conduct and behavior.
 - ✓ To have not convicted any crime such as theft, fraud, embezzlement, forgery, bribery, or any other offense against public decency or morality or disciplinary punishment for reasons of honor or honesty.
 - ✓ To fulfill the minimum qualification and experience criteria for the position.
 - ✓ To pass the scheduled interviews and any other test conducted by HR Unit.

Recruitment of immediate relatives of the employees:

- AAU does not permit to employ immediate relatives of staff. However, this may occur on the occasion if it is in the best interest of AAU and after special approval from senior management.
- There must not be direct/indirect reporting of an employee to the relative.
- Any areas that may pose a conflict of interest need to be identified and sorted out during the recruitment process.

Sources for recruitment:

AAU uses the following sources for recruitment:

- Announcement of the vacancies is done through the AAU official website.
- Internal Recruitments, if applicable.
- AAU's own alumni database.
- Advertising in the newspapers and other media.
- Recruitment agencies.
- Participation in the career fairs.

Interviewing:

Once applications are received and the most suitable candidates are screened, they are interviewed as follows:

- ✓ In the first phase, the HR Unit will interview the applicants, and shortlisted candidates will be interviewed by the selection committee.
- ✓ The selection committee consists of the relevant department head and another member of the department.
- ✓ During the interview, the selection committee should not answer any questions related to compensation/salary; such questions must be forwarded to the HR Unit.

Selection and offer of employment:

Once the selection of the candidate is completed, the HR Unit shall issue the offer letter in accordance with the approved format and duly signed by the authorized signatory.

If the candidate accepts the offer and signs off the offer letter, the HR Unit shall inform him/her of the required paper work to be done including filling different forms, and submission of personal and educational credentials.

As per the requirements of the relevant department, the HR unit shall inform the candidate of the start date of duty.

Orientation of new staff:

The University recognizes the need and importance of orientation .The customized Orientation schedule strives to achieve following objectives:

- To welcome the employee to the Al Ain University of Science & Technology.
- To help the new employee develop a positive working relationship by building a foundation of knowledge about the University's history, mission, vision, values and culture.
- To help the new employees to understand their roles and how their contributions help achieve the University's goals.
- To provide information on the University's policies, procedures, and benefits.
- To offer resources, help, and growth for each employee.
- To create a sense of excitement about their new job.

AAU uses a comprehensive set of activities for orientation purposes that include Pre- commencement Checklist and Induction Checklist. Following are the main activities to be performed:

- The HR Unit prepares for the anticipated arrival of the new employee.
- The HR Unit welcomes the new employee by emailing New Employee information to everyone at AAU.

- The new employee is invited to attend a Benefit and Records session.
- The HR Unit will introduce the new employee to different departments that will provide functional support from time to time.
- The new employee is sent to the Head of Department/Manager who introduces the employee to the position, department, and co-workers.
- After receiving the username and system login information, the new employee attends the orientation sessions separately conducted by systems support staff, library support staff etc.
- The new employee and Department head return the completed and signed checklists to the HR Unit.

Probationary period

- The standard probationary period is set as six months for all the administrative staff.
- During the period of probation, the department head will evaluate the performance of the employee from time to time.
- If the employee's performance is not satisfactory, employment may be terminated by AAU at any time during the probation period without any notice.
- An employee who resigns or gets terminated during the probation period is not entitled to severance pay.

Duration of contracts

- The standard contract duration for administrative staff is one year, and it is renewable if both parties mutually agree. The duration of the contract may vary for different positions at the sole discretion of AAU.

Procedure for contract renewal

- According to AAU's comprehensive evaluation process, the staff member is evaluated by the Department Head. The department head reviews the results of the previous yearly evaluation and take into account the effectiveness of the staff member during the course of performing his/her duties.
- Based on the overall performance evaluation, AAU makes the decision whether or not to renew the staff member's contract.

Professional Staff Promotion Policy

Overview

It is AAU's goal to ensure maximum opportunity for promotion of employees, consistent with the commitment to institutional needs and excellence, affirmative action, equal opportunity and applicable contractual agreements. It is the policy of AAU to enhance the upward mobility of staff members through promotion as well as complement the present practices at the university which allow for personnel development.

The policy is based on the recognition that in the course of meeting institutional objectives, the duties and functions of an employee may change in complexity and responsibility. Promotions, therefore, are based on status changes that involve increasing responsibility levels. The added benefits of promotion serve as an incentive for better work performance, enhance morale, and create a sense of individual

achievement and recognition. While good past performance enhances the validity of the promotion, it should, by itself, neither be the primary nor the sole reason for recommending a candidate for promotion.

Managers seeking to promote staff members in their respective areas are reminded to pay particular attention to past annual performance evaluations. These documents indicate prior performance levels and accomplishments in the department illustrating, for example, how effectively the tasks assigned were completed.

Promotion Policy Statement

For the purpose of this policy statement, a promotion is defined as advancement to a different position which has increased responsibilities and adjustment to a higher salary level.

It is recognized that a promotion may occur through the following:

- **Reclassification of the existing position:**
A reclassification of the individual's existing position as a result of the individual performing duties at a higher degree of responsibility and complexity than the current classification calls for. This requires an audit of the position through the job evaluation process.
- **Filling of an existing higher level vacancy :**
This happens when an existing higher level vacancy is filled by a promotable individual at a lower classification.

Both processes must include a current job description and a new job description of the individual being promoted. Accordingly, it is within AAU policy to provide internal employment to qualified candidates through intradepartmental and interdepartmental promotion whenever possible. The criteria used when considering employees' qualifications for promotion must be fair and unbiased, and all university employment policy requirements must be fully met and documented. Employees are to be considered for promotion regardless of age, sex, race, color, national origin or physical impairment.

Eligibility

All AAU employees who have successfully completed three years specified by conditions of employment or contract are eligible to be considered for promotion if available. They are encouraged to review all job vacancies circulated to each department and posted on the AAU's website on a regular basis.

Supervisors should also be aware that promotable candidates need only satisfy the qualifications as specified in the job description and not the qualities, skills or knowledge of the candidate.

Implementation

Supervisors should encourage all support staff members within their areas of responsibility in the pursuit of career advancement and should ensure that all qualified internal applicants, are duly considered for vacancies in their unit before recruiting outside candidates.

For the implementation of the promotion policy, the following criteria must be met:

- The positions are in the same department, and one position genuinely prepares the employee for the next. This allows for upward movement within the same or related family of job groups where skills are easily transferable.
- The employee has already demonstrated the ability to perform the higher job.
- The employee has met any special requirements such as a course or a skill.
- The department must be able to demonstrate a satisfactory past record of the employee.
- The employee has no warning in his file for the past 3 years.
- The unique and specialized requirements (including but not limited to qualifications, experience, personal attributes, professional skills) of the open position justify promotion.

Procedures for promotion

● **Responsibilities of Appropriate Dean, Department Head or Manager**

A completed Promotion Application Form (available at HR Unit) is signed by the Dean, Department Head or Manager and submitted to the HR Manager. The “current status” of the candidate and the recommended “new status” should be stipulated. Accompanying the Promotion Application Form should be the following documents:

- ✓ A memorandum justifying the reasons for the recommendation. If the promotion exists either through the filling of a vacancy or through a reclassification, all relevant data chronicling the person’s most recent evaluation(s) and the criteria being evaluated should be included. Also included should be a statement of functional and organizational changes within the department impacting the position; other data such as, but not limited to, include: proof of added qualification; completion of job related service training courses which enhance current job knowledge and skills.
- ✓ A current job description of the candidate.
- ✓ A copy of the vacant position or a statement outlining the new duties and responsibilities to be evaluated.

● **Responsibilities of the HR Manager**

The HR Manager shall review all aspects of the promotion with respect to payroll, salary, benefits, grade change, title change, effective start date and the organizational structure affected by these movements. Upon completion of this review, the HR Manager forwards all materials to the Senior Management. Upon completion of analysis, the Senior Management will approve or decline the promotion request.

● **Effective Date of Promotion**

A promotion becomes effective from the date of approval from the Senior Management.

4. c Compensation and benefits policy

AAU adopts its own system of compensation and benefits which is mainly based on the faculty members’ academic ranks: Professor, Associate Professor, Assistant Professor, and Instructor. In addition, the University looks into the rarity of the specialization and the faculty member’s experience. It also takes into consideration any distinguished accomplishments the faculty member may have achieved.

Notwithstanding the compensation system, AAU gives special attention to incentives. Faculty members are encouraged to engage in scientific research and apply for promotion which will reflect on their financial status.

4. d. Faculty/Personnel Records Policy

The HR Unit maintains a file for each faculty and staff member. Each file contains the following documents, among others:

1. Personal Information:

This part contains the employee's C.V, personal photo, valid passport copy with residence visa for employee and dependents, valid UAE ID copies, contact details, health insurance records etc.

2. Qualifications:

In this section, true copies of all the verified academic credentials are placed in addition to copies of experience certificates, special achievement certificates, training certificates, etc.

3. Offer Letter and Contract:

This section provides information about the offer letter detailing the salary, valid MOL contract, date of commencement of work, and date of end of contract.

4. Leaves Information:

In this part of the file employee's leaves are recorded and categorized according to the type of leave; annual leaves, sick leaves and other leaves.

5. Other Documents:

In this part, all those documents issued by AAU for the staff and upon their request are documented.

4. e. Professional Development

1) Faculty Professional Development

The professional development of all faculty members is essential in the AAU's quest for academic excellence. The active development of faculty members is needed to accomplish academic progress.

Such development can be attained through active participation in the following activities:

- I. workshops
- II. seminars
- III. research
- IV. lectures
- V. summer courses
- VI. community activities
- VII. conferences
- VIII. novel applications of instructional technology
- IX. innovative projects for curriculum development

Applying for a Professional Development Fund

The formal procedure for a faculty member to participate in any of these activities is as follows:

- i. The faculty member submits an application to his/her department to get approval for the activity (see the relevant application form).
- ii. Approval from the College Council is also required before the faculty member receives final approval.
- iii. Approval from the University President.

Faculty Development Fund Proposal Guidelines and Application Forms

• General

The AAU Faculty Development Fund (FDF) is administered as a competitive grants program. FDF awards are designed to help faculty conduct their proposed research. Submissions are limited to one proposal per principal investigator (or co-principal investigator) per competition. Funding of eligible projects may be requested.

• Eligibility

A full-time faculty member may submit proposals, regardless of the number of previous FDF grants that they may have been awarded in the past, with the following restrictions applying:

- I. An individual may not receive more than one grant in any one-year period and may not hold two FDF grants concurrently.
- II. In order for an individual to receive subsequent FDF grants, the proposals must represent a significantly new project, and the reporting requirements for the prior award must have been met.

Although the focus of the program is on individual faculty development, two or more eligible faculty members may submit a collaborative proposal, with the following restrictions applying:

- I. One participant must be designated as the project director, and that person may not reapply to this grant program for a one-year period after an award is given.
- II. Other members of a group award may reapply within the one-year period, but priority will be given to faculty who have not received a previous award, either individually or as a member of a collaborative group.
- III. A subsequent award will not be made to any member of a group award for work that is in any way related to the original project, even though a different faculty member is designated as the project director.

• Proposal Format

A complete proposal consists of the following four sections, in the order listed below. All figures and tables must be included in the eight-page proposal. Copies of surveys, tests, evaluation forms, or similar items, may be included as appendices, but are limited to five pages.

- I. A 'Cover Sheet' containing a 100-200 word abstract of the project and the signature of the principal investigator's Department Head.
- II. 'Project Description' (not to exceed eight pages). The content of this section will vary, depending on the nature of the project and the academic field of the applicant. Typically, the description will include a discussion of the nature of the problem to be investigated and its significance; the results of preliminary investigations, if any; goals and objectives; methodology, project design, or activities; and literature cited or bibliography. Also include plans for continuation of the grant activity.
- III. 'Budget Amount and Budget Description' of your budget needs (See 'Budget Form').
- IV. 'Curriculum Vitae' of a maximum length of two pages.
- V. Proposals that are late, incomplete, or in an incorrect format will not be reviewed.

Participating in Scientific Conferences

Participation in conferences takes place by a decree from the University President upon recommendation by the faculty member's College Dean. The President is authorized to offer an applicant an advance payment that does not exceed his/her expected dues according to these instructions. Priority is given to attending conferences dealing with issues that are of interest to the university, or related to the needs of the country.

The approval of participation of faculty members at conferences is governed by the following criteria:

- I.** the closeness of topic of the conference and the faculty member's specialization;
- II.** whether the university has delegated the faculty member to represent the university at the conference;
- III.** whether the research has been conducted in the name of the university and the faculty member is accepted by the conference as the sole or primary author;
- IV.** whether the faculty member has not taken part in a scientific conference in the same academic year or the year before.

A faculty member who attends a conference is entitled to:

- I.** a return ticket to the place of the conference at an appropriate rate according to the instructions approved by the university;
- II.** conference participation fees;
- III.** 30-50% of the per-diem payments if the participant is invited (as a guest) in accordance with the level of support provided by the invitation. If he/she is not invited, the per-diem allowance is paid in full.

The maximum amount, including travel and daily payments, that will be paid by the university to cover the costs of attending a conference, is determined in accordance with the conference location or host country, as follows:

- I.** 10000 AED if the conference is held in North America, Europe, Japan, or Australia.
- II.** 8000 AED if it is held in any other country than those referred to in (I).

The researcher must submit a request for participation in a conference at least a month before the date of the conference. Upon return from the conference, the researcher is required to:

- I.** submit a report on his/her participation in the conference, and any subsequent research results;
- II.** hold a seminar within the faculty member's college to discuss the issues dealt with in the conference, and the conference conclusions;
- III.** Provide the library with copies of any scientific papers that were obtained during the conference.

2) Professional Staff Professional development

At AAU, opportunities for career development and training are open to all employees. All employees will be provided with every opportunity to acquire the range of training, Skills and experience necessary for their job and career development.

Opportunities for training will be based on the requirements of the job, and career development will be based on people's abilities and merit. AAU is committed to a relevant training and career development policy for all staff irrespective of background. Announcements of training programs are mailed to staff members or invitations are extended through department heads. Employees who wish to enroll in training courses must have prior approval from their Managers.

Further, the University encourages the participation of employees in programs offered or sponsored by the Human Resources Unit. Supervisors may allow paid release time to attend such programs provided that the seminar, workshop, or course is reasonably related to an employee's existing job or a future position to which the employee may reasonably aspire.

Promotions and interdepartmental transfers are also encouraged for staff members' professional development.

4. f. Faculty Workload

The standard full-time faculty academic load consists of twelve contact hours per week of undergraduate teaching plus a reasonable amount of time devoted to such activities as student advisement, individual research or other creative activities, new course development, and committee or other governance service. Under normal circumstances, a semester teaching-load includes no more than three separate preparations, of which no more than one should be a course new to the faculty member.

Teaching load

The working week for all AAU faculty members covers 40 hours distributed as follows:

- I. 12 teaching hours (one credit/hour of postgraduate is equivalent to 1.5 of undergraduate);
- II. 6 office hours;
- III. 8 hours for preparing instructional materials;
- IV. 5 hours for meeting, course revisions and other administrative duties;
- V. 9 hours for research.

The teaching load for Department Heads is 3 semester hours less than his normal load.

The teaching load for College Dean is 6 semester hours less than his normal load.

Proctoring Examinations

You are responsible for actively proctoring all the examinations you administer. Graduate assistants and staff should not proctor exams.

Office Hours

The university requires all full-time faculty members to hold at least six office hours a week. You should include the times and locations for your office hours on your course syllabus. Full-time faculty should spend sufficient hours on campus as part of their academic workload responsibilities.

4. g Definitions and Minimum Qualifications for Academic Ranks

In addition to fulfilling the general criteria for the evaluation of faculty members described in the previous section, a faculty member must meet specific requirements for each rank in order to be appointed, or promoted, to that rank.

Instructor

An appointee to this rank must:

- I. hold a Master's degree in the required specialization from a university which is recognized by the Ministry of Higher Education and Scientific Research;
- II. have a sound teaching record

Assistant Professor

An appointee to this rank must:

- I. hold a doctorate degree or a PhD degree in a relevant discipline from a university which is recognized by the UAE Ministry of Higher Education and Scientific Research;
- II. have a sound record of teaching, research, and community service;
- III. have demonstrated potential for professional growth in his/her field.

Associate Professor

An appointee to this rank must:

- I. have a doctorate degree or a PhD degree in a relevant discipline from a university which is recognized by the Ministry of Higher Education and Scientific Research;
- II. have a sound record of teaching, research, and community service;
- III. show potential for becoming a scholar of distinction, and have demonstrated professional recognition and growth;
- IV. have at least five years of full-time teaching experience at a college or university at the rank of assistant professor;
- V. have been promoted to the rank of associate professor at a college or university where the promotion regulations are comparable to those of AAU.

Professor

An appointee to this rank must:

- I. have a doctorate degree or a PhD degree, or the highest degree that is customary in the discipline, and have all of the qualifications of Professor;
- II. have achieved a record of continuing distinction in scholarship or creative endeavors in the field;
- III. have demonstrated excellent teaching ability and shown continuing active engagement with students in and outside the classroom;
- IV. have a good record of continuing evidence of relevant and effective professional service and demonstrated an ability for continuing achievement in this area;
- V. have had at least ten years of full-time teaching experience at a college or university, including at least five of those years at the rank of Associate Professor. He/she also have been promoted to the rank of professor at a college or university where the promotion regulations are comparable to those of AAU.

Qualifications of Faculty Teaching in the MBA Program

Faculty members who teach in the MBA Program must have the following qualifications:

- I. the rank of full professor or associate professor;
- II. a record of distinction in scholarship and/or creative endeavor in the specialization;
- III. a demonstrated excellent teaching ability at the graduate level;
- IV. practical experience in industry or other businesses is highly preferred.

Assistant Professors Teaching in the MBA Program

Assistant Professors may teach in the MBA program if they have:

- I. taught similar courses at the undergraduate level for at least two years;
- II. published at least one article in a refereed journal;
- III. Received the approval of the Dean of the College of Business Administration.

Full-time Faculty Members

The full-time faculty ranks are: instructor, assistant professor, associate professor and professor.

Appointment to any rank is made according to regulations for recruitment. A faculty contract may be renewed, on the basis of a rolling contract.

Visiting Faculty Members

A visiting faculty member may be a distinguished faculty member who is on leave from another college or university, or from a comparable educational or research institution. Appointment to this rank is either on a semester-by-semester basis, or on an annual basis. A visiting faculty member can be a visiting professor, a visiting associate professor, or a visiting assistant professor. The same qualifications and procedures shall apply for visiting faculty members as per the initial requirements for full-time faculty ranks. Recommendations for the reappointment of a visiting faculty member shall be made by the relevant college Dean to the University President. A visiting faculty appointment may not be renewed for more than two consecutive years. A visiting faculty member is entitled to specific resources and access to specific facilities at the university as determined by the Dean of the college to which s/he has been appointed.

4. h. Evaluation

Faculty Member Evaluation

Introduction:

At the beginning of the fall semester, each faculty member receives a form that constitutes his/her annual plan of performance in the three areas of academic activity: teaching, research, and community service. The form specifies the components of each performance area and the rubrics by which they are evaluated. Faculty members submit their annual plan to the Department Head or Dean within two weeks from receiving the annual plan form.

A month before the end of the academic year, faculty members are required to submit a record of their actual performance to the Department Head who conducts evaluation of the faculty member's performance and submits it to the Dean for final assessment.

Faculty members keep documented evidence of their academic performance in the Instructor's Portfolio which should be continuously updated throughout each semester.

During the academic year, faculty members are expected to be involved in the following activities: teaching, research, and university and community service. These activities reflect the faculty's contribution to the department, college and university. The significance of faculty participation in each of the above mentioned activities may vary from one activity to another. The total contribution in all activities, however, will be used to assess faculty overall performance.

In appreciation of distinguished research activities and in a gesture to motivate faculty members to be more involved in research projects of a distinguished quality, once a year, AAU reviews the research submitted by faculty members from all AAU colleges and departments. Awards are presented to faculty members with outstanding research during the previous year. Selection criteria include research significance and journal ranking

Contract Renewal

According to AAU's comprehensive evaluation process, the faculty member is evaluated by the students, Department Head, and College Dean. While students assess the faculty member's teaching performance, evaluations written by the Department Head and the College Dean have a more comprehensive and detailed scope where they assess the faculty member's teaching, serving at committees of different levels, university and community service, as well as research activities.

Based on the overall performance evaluation, AAU makes the decision whether or not to renew the faculty member's contract.

Faculty Member's Annual Self Report

Academic Year:

Name:

Department:

College:

Faculty Member's Specialization:

The Faculty Member's Annual Self Report is provided as an opportunity for each faculty member to furnish a descriptive summary of his\her professional activities and contribution to Al Ain University. Please answer the following questions, and return this document to your Head/Dean/Director by (DATE)

1. Effective Instruction

- 1.1. Describe any special endeavors (e.g. developed a new course, prepared a lab manual, utilized the IT platform or used new instructional strategy) which you have made to improve your teaching proficiency.
- 1.2. Confirm your completion of courses and faculty portfolios.
- 1.3. Describe your assessment of your student evaluation.
- 1.4. Describe your assessment of your course grade profiles and their distribution.

2. Research and Scholarship

- 2.1. Describe your scholarly research and professional activities (e.g. publications, papers presented, research projects and conferences attended) for the past year.

3. University and Community Service

3.1. Describe your service contributions to the university (e.g. administrative responsibilities, committee memberships, commitment to working- and office hours, and student advisement).

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.....

3.2. Describe your service contributions to the local community (e.g. talks, forums, seminars, training programs, newspaper articles, and consultations).

.....

.....

Faculty Member Evaluation Form (completed by Dept. Head/Deputy Dean/ College Dean)

Academic Year:

Name:

Department:

College:

Faculty Member's Specialization:

| No. | Statement | Rating | | | | |
|--------------------------------|--|-----------|--------------|-----------|-------------------|----------------|
| | | Poor 1 | Average 2 | Good 3 | Very Good 4 | Excellent 5 |
| 1 | Treats colleagues at department, college, and university with respect | | | | | |
| 2 | Treats students in compliance with academic and educational ethics | | | | | |
| 3 | Commits to attending department council meetings | | | | | |
| 4 | Commits to class times | | | | | |
| 5 | Gives exams on time | | | | | |
| 6 | Follows applicable course description | | | | | |
| 7 | Commits to office hours | | | | | |
| 8 | Gives exam results to students on time | | | | | |
| 9 | Commits to exam invigilating timetable | | | | | |
| 10 | Adheres to graduation projects' defense timetable (if applicable) | | | | | |
| 11 | Takes part in the AAU graduation ceremony | | | | | |
| 12 | Delivers seminars and presentations at AAU as well as outside | | | | | |
| 13 | Contributes to enriching AAU library with specialized books | | | | | |
| 14 | Complies with tasks assigned by the department, college, and university | | | | | |
| 15 | Updates course portfolios in accordance with the CAA standards | | | | | |
| 16 | Publishes refereed research papers (attach relevant report) | | | | | |
| 17 | Participates in scientific conferences at AAU (if applicable) (attach relevant report) | | | | | |
| 18 | Participates in external scientific conferences (attach relevant report) | | | | | |
| 19 | Publishes scientific books (attach relevant report) | | | | | |
| 20 | Takes part in community engagement activities (attach relevant report) | | | | | |
| Total | | | | | | |
| Mark for each rating | | | | | | |
| Overall Mark and Rating | | | | | | |

Department Head

Deputy Dean

College Dean

Annual Faculty Evaluation of the Dean/Deputy Dean

(Completed by the Faculty Member)

Academic Year:

Dean's / Deputy Dean's Name:

College:

The aim of this evaluation is to obtain feedback on your Dean's performance.

Please place a tick (✓) in the box that corresponds to your view on each of the following items:

| | | Poor → Excellent | | | | |
|--------------------------------|--|------------------|---|---|---|---|
| | | 1 | 2 | 3 | 4 | 5 |
| 1 | The Dean possesses a thorough knowledge of higher education issues | | | | | |
| 2 | The Dean demonstrates a collegial leadership style and a highly communicative relationship with faculty, students and staff | | | | | |
| 3 | The Dean exhibits highly developed interpersonal relations and communication skills | | | | | |
| 4 | The Dean is able to effectively articulate the vision, mission and goals of AAU | | | | | |
| 5 | The Dean is able to select, recruit and retain faculty and staff who are committed to excellence and diversity | | | | | |
| 6 | The Dean understands the importance of AAU to UAE society | | | | | |
| 7 | The Dean is able to interact well with community members | | | | | |
| 8 | The Dean is self-confident | | | | | |
| 9 | The Dean is worthy of respect | | | | | |
| 10 | The Dean is approachable | | | | | |
| 11 | The Dean is able to admit and correct mistakes | | | | | |
| 12 | The Dean possesses a keen awareness of the value of competition and cooperation | | | | | |
| 13 | The Dean treats faculty members and staff fairly and equally | | | | | |
| 14 | The Dean is able to attract and retain outstanding faculty, students, administrators and staff | | | | | |
| 15 | The Dean is able to identify, anticipate, appropriately prevent, manage, and confront conflicts and other difficult situations | | | | | |
| 16 | The Dean demonstrates commitment to upholding academic values | | | | | |
| 17 | The Dean seeks the opinion and meets the needs of the students | | | | | |
| 18 | The Dean seeks the opinion and meets the needs of faculty | | | | | |
| 19 | The Dean seeks the opinion and meets the needs of staff | | | | | |
| 20 | The Dean demonstrates an ability to develop and implement strategic long-range plans | | | | | |
| Total | | | | | | |
| Mark for each rating | | | | | | |
| Overall Mark and Rating | | | | | | |

Comments:.....

Professional Staff Performance Evaluation

Overview:

AAU always encourages the employees and facilitates their growth and satisfaction within the AAU. For this purpose, the formal “Performance Evaluation System” provides the basis for decisions regarding confirmation, promotion and annual appraisal of AAU staff strictly on merit. The objective of this policy is to specify the central functions and procedures of AAU’s Performance Management System’s framework. This policy covers all permanent full time administrative staff members.

Policy:

The AAU performance management system focuses at encouraging a performance driven work environment that can ultimately urge good performers to improve further and help to manage underperformances through proper monitoring and guidance. It also aims at providing a fair review of the employee’s performance during the year as an essential part of employee development.

- All the managers are required to set goals for their departments/units; these departmental goals must be aligned with the AAU’s Mission and Vision. Additionally, managers should discuss their departmental objectives/performance with the senior management on appropriate basis and submit the status reports. The evidence on such activities will be used as a major tool to measure the performance of the managers.
- In light of the department/unit goals, managers are required to set the objectives of the employees. These objectives must be defined and handed over to the employees by the beginning of the year (by using the Performance Evaluation form available at the HR Unit). In case of new recruitment, objectives must be defined and discussed during the first three months of hiring.
- Employees are required to be familiar with the goals of AAU as well as those of their department/unit. It will help the employees to demonstrate better understanding for individual objectives and to participate in the performance discussions.

Process of performance review

The performance review will take place as follows:

- **Employee’s Confirmation:**

All new employees will be appraised one month prior to the completion of probation (Probation period will be of six months). In case of satisfactory performance, their services will be confirmed, and a Confirmation Letter will be issued by the Human Resources Unit. In case of unsatisfactory performance, services may be terminated.

- **Annual Performance Review:**

This will be conducted once a year. AAU may set a specific period for annual performance review.

- **Contract Renewal:**

Performance review must take place at least three months prior to the employee’s contract renewal. The performance management system is comprised of three basic activities: setting objectives and conveying them to the employees at the beginning of the year, monitoring the performance during the year, and reviewing the performance and objective achievement at the end of the year.

Aside from the above mentioned formal activities, employees and managers are encouraged to frequently conduct less formal meetings in order to discuss progress or any hindrances in objective achievement.

Performance review meetings must be based on the principle of two-way communication. The employee is encouraged to discuss issues related to the job and performance, career plans, etc. Managers are encouraged to provide constructive feedback on the employee's strengths and areas for improvement.

Managers are required to maintain proper record of the individual performance in case it is important to attach it to the performance review form as evidence.

The HR Unit will be responsible for supporting Performance Management activity through providing guidance to managers and employees. The HR Unit is also responsible for performance improvement needs including training and corrective actions.

AAU may use different tools to support the performance management system; these may vary between employee categories and various departments.

Performance improvement policy

It is the policy of AAU to provide counseling support and development to employees whose performance is below average or unsatisfactory in order to assist them to meet the job requirements and to prevent the need for disciplinary action or termination.

AAU is keen on providing each employee with the direction, development and counseling necessary to assure a productive and rewarding career. If the employee's performance is substandard (i.e. below established expectations) on a sustained basis, additional counseling and direction may be rendered.

Definition of unsatisfactory performance:

Performance may be unsatisfactory in a number of areas; these include, but are not limited to:

- Performance (quality or quantity) does not meet the requirements of the job.
- Work is consistently off schedule.
- The employee does not meet generally accepted standards of employment (e.g. excessive or sustained absenteeism or tardiness).
- Inability to maintain satisfactory working relationships with others.

Employees whose performance appears to be unsatisfactory, on a sustained basis, in any of the above categories, should be provided the following phases of counseling:

Phase – 1

At the first sign of unsatisfactory performance, the Department Head/Manager should:

- ✓ Meet with the employee for a formal discussion of performance.
- ✓ Clarify expectations, which are not being met.
- ✓ Discuss specific performance problems.
- ✓ List specific expectations for improvement.
- ✓ Provide the employee with a dated written summary of the discussion, including a statement describing the performance problems and a list of specific expectations for improvement.
- ✓ Closely monitor the employee's performance for a period of at least one month following the discussion.

Phase– 2

If improvement has occurred, the manager should provide feedback to the employee on the improved work performance.

If improvement has not taken place:

- ✓ The employee should be placed on a formal performance improvement plan for a specified duration (typically three months or more). The Human Resources Unit should be informed of the plan.
- ✓ The supervisor should again specify improvements which must be made during this time frame and suggest development actions to assist the employee in making the improvement required.
- ✓ The supervisor should specify future disciplinary action to be taken if improvement is not made during the improvement plan period.
- ✓ The supervisor should monitor performance closely during the improvement plan period. It is also critical that the managers provide frequent guidance and counseling to assist the employee in making the desired improvements.
- ✓ At the end of the improvement plan period, the supervisor should formally review performance with the employee.

If performance has improved, the employee should be taken off the formal improvement plan and reminded that improved performance is now expected to continue. If performance has not improved or it regresses at a later date, appropriate disciplinary action will be taken. Documentation of unsatisfactory performance will remain in the employee's personal folder for three years. At the end of three years, the documentation should be destroyed if the employee's performance has been fully satisfactory during the interim period.

The major objective of this policy is to improve marginal or unsatisfactory employee performance and to prevent further deterioration of the employee's work performance. A second important objective is to make certain that when an employee's continued employment is under question, the employee will be provided support, assistance and guidance from the management - before disciplinary action becomes necessary.

Exceptions:

It is recognized that there may be occasions where it is not in the best interest of either the employee or the university to continue an employment relationship. In such situations, the use of a formal performance improvement plan may be waived, with the concurrence of the department head/manager and the Human Resources Unit. Such exceptions should be rare, and waiver of the performance improvement plan should be considered only in situations where, after careful thought, it is concluded that a period of formal performance counseling will most likely not bring about the changes in performance or work relationships that are necessary. The senior management's approval to such an exception would be a mandatory requirement

4. i Disciplinary Policy

Al Ain University is committed to professional honesty and integrity, and also recognizes the need for fair and adequate investigation of alleged violations of rules and policies relating to the conduct of AAU faculty members and staff.

Discipline

Discipline means any sanction except dismissal that may be imposed by the administration against a faculty member for misconduct. Sanctions may extend from mild to severe and from informal to formal. In cases of employment offenses or misconduct, a range of sanctions/measures short of dismissal should be available. This range of sanctions from minor to major constitutes progressive discipline. However, the imposition of any sanction must be regarded as a serious disciplinary step and even a first offense may warrant the most extreme penalty.

Any sanctions/measures that are imposed by the university must be selected to meet the severity, the frequency, and/or flagrant nature of the infraction. Appropriate sanctions may include:

- I. an oral reprimand
- II. a written reprimand
- III. reassignment to other duties
- IV. restitution
- V. placement of the faculty member under the direct supervision of the Head/Dean with a specific plan for remediation, for a specific period of time
- VI. loss of summer teaching employment for a faculty member on a contract of less than twelve months
- VII. loss of perquisites or of privileges of rank for a stated period, not to exceed two years
- VIII. reduction in contract period
- IX. dismissal

Misconduct

Misconduct may include the following:

- I. neglect of duty or responsibilities, including unauthorized absence, which impairs teaching, research or other normal and expected services to the university
- II. failure to perform the terms of employment for reasons other than documented illness or injury
- III. willful violation of the rules and regulations of the university
- IV. violation of the ethics of the academic profession
- V. action(s) that results in preventing other members of the university community from fulfilling their responsibilities, or actions that create a clear and direct danger to members of the university community
- VI. conduct, professional or personal, involving moral turpitude

Disciplinary procedures

The following procedures must be followed when a faculty or staff member is alleged to have committed an employment offense or misconduct. If, however, the Head regards the alleged employment offense or misconduct as one that warrants only an oral reprimand, the Head may follow these procedures at his/her discretion.

The procedures listed below are to be followed in sequence:

- I. The Head notifies the Dean/Manager in writing of the alleged offense or misconduct. This notification includes the policies/procedures which may have been violated, with supporting evidence.
- II. The Dean/Manager notifies the HR Manager/University President. This notification includes the policies/procedures which may have been violated with supporting evidence.
- III. The Head, Dean, and University President consult the legal advisor of the university, who verifies all the facts related to the alleged offense or misconduct.
- IV. The Head notifies the faculty member in writing of the alleged offense or misconduct, clearly identifying the policies/procedures which may have been violated with supporting evidence.
- V. The faculty member is given an opportunity to respond both orally and in writing to the allegations and to any evidence prior to any determination of culpability.
- VI. If the faculty member chooses to respond, the response must normally be made within ten working days to the Head.
- VII. The Head reviews the faculty member's response (if any was made), his/her past performance and employment record, as well as any additional information prior to determining if a sanction is warranted.
- VIII. Normally, within ten working days after receiving the faculty member's response, the Head notifies the Dean of the response and includes his/her recommendations regarding the alleged offense or misconduct. If warranted, the Head's recommendation may include an appropriate sanction. Resolution of the matter may occur at this point.
- IX. The Dean consults with the University President and the university's legal advisor, then notifies the faculty member and the Head of the sanction (if any) to be imposed. Notification is normally given within fifteen (15) working days.
- X. The faculty member is given ten days to respond both orally and in writing to the Dean before any sanction(s) becomes effective. The response should indicate any intention to appeal the recommended sanction(s) to the grievance committee.

When a Department Head is alleged to have committed an employment offense or misconduct, the Dean will follow the above procedures fulfilling the Head's duties and University President will act in the Dean's role.

When a Dean is alleged to have committed an employment offense or misconduct, the University President will follow the above procedures fulfilling the Head's duties and the University President will act in the Dean's role.

Depending upon the severity of the alleged offense or misconduct, the University President or the President's designee may immediately place a faculty member on leave with pay, pending an

investigation of alleged misconduct or other employment offense. The leave pending investigation shall commence immediately upon the University President or designee providing the faculty member with a written notice of the reasons. The leave shall be with pay, with no reduction of accrued leave.

If, as a result of the investigation, the faculty member is to be suspended or his/her contract terminated, written notice shall be given to the faculty member. In all cases, the faculty member will be given an opportunity to respond within ten working days before any sanction(s) become(s) effective. The response may be made both orally and in writing to all allegations and evidence.

Appeal of Recommended Sanctions

A faculty or staff member may appeal the recommended sanctions to the Grievance Committee. Resolution of the matter may occur at this point and the committee may recommend acceptance, modification, or rejection of the findings and/or sanctions.

4. j. Appeals and Grievance Policies

Grievance Procedures

Grievances by a faculty or staff member against the university or its employees are governed by this procedure. A faculty or staff member should first work informally with administrators (the University President, Deans, and Department Heads) to resolve the matter. Experience indicates that almost all cases can be resolved informally. The process should reflect mutual trust, respect, collegiality, and cooperation.

The grievances governed by this procedure may include the following:

- I. unlawful discrimination on the basis of age, religion, race, or national origin
- II. salaries
- III. resource support
- IV. teaching assignments
- V. office assignments
- VI. leave of absence applications

Discipline against a Faculty or Staff Member Short of Contract Termination

Informal Procedure

A faculty or Staff member shall first attempt to resolve the grievance informally with the person whose action is the basis for the grievance. However, if in the faculty or staff member's sole discretion it is not practical to do that, he/she shall first attempt to resolve the grievance informally with that person's immediate superior.

Formal Procedure

If the informal procedure does not resolve the grievance, the faculty or staff member may initiate the formal grievance procedure. To do so, the he/she must submit a written grievance statement to the immediate superior of the person whose action is the basis for the grievance, within 20 days. The grievance statement must include the following:

- I. a concise statement of the grievance
- II. a description of actions taken so far to resolve the grievance
- III. a description of the responses received
- IV. a proposed resolution of the grievance

Upon receiving the grievance statement, the administrator will take the steps he/she deems necessary to investigate and resolve the grievance. The administrator will then give the faculty member a written decision, within a period of ten days.

Appeals

The faculty or staff member may appeal a department Head's decision to the Dean. The faculty member may appeal a Dean's decision (whether an original decision or an appellate decision) to the University President. The faculty or staff member must submit any appeal in writing within two weeks after receiving the decision. Upon receiving the appeal, the administrator will take the steps he/she deems necessary to investigate and resolve the grievance. The administrator will then give the faculty or staff member a written decision, within a period of two weeks.

Confidentiality

Sensitive information disclosed in the proceedings should be kept confidential. Except for simple announcements about the status of the proceedings and similar matters, both the university and the concerned faculty or staff member(s) shall avoid making public statements about the case until the proceedings have been completed.

Exhaustion of Remedies

A faculty or staff member shall not initiate civil litigation or civil administrative remedies against the university or its employees until all the remedies provided by this procedure have been exhausted.

Non-Retaliation

Retaliation by the university or its employees against a faculty or staff member for seeking redress through this procedure is prohibited, and is a separate cause for grievance.

4. k. Resignation and Termination of an Employment Contract

Faculty Members

Resignation

Notice of resignation must be made at least six months before the end of the academic year or the contract end. If a faculty member fails to submit his/her resignation within the period stated above, he/she loses the end of service benefits for the last year.

A faculty member who resigns from the University while under contract must do so in writing to the Dean of the college via the department Head. In all cases, a letter of resignation should be forwarded to the Dean's office. The Dean's office should then forward the resignation letter to the Vice President and to the Human Resources.

Termination of a Contract

Termination or dismissal from the University shall be only for a cause. The cause may be one or more of the following:

- I. unsatisfactory performance
- II. under recommendation of the Disciplinary Committee for serious misconduct
- III. prolonged inability to fulfill his/her duties for medical reasons
- IV. reduction in academic staff caused by:
 - b. financial exigency
 - c. discontinuance
 - d. reduction in the size of the program

In such a case, the faculty member will receive notice of the termination of his/her contract at least three months before the end of his/her contract or before the end of the academic year.

Professional Staff

Resignation

Notice of resignation may vary according to the nature of position. Staff are requested to refer to their contracts before the submission of the resignation. The minimum notice period for standard contracts is one month. If a staff member fails to submit the required notice, procedures mentioned in the UAE's Labor law no. (08) of 1980 will apply.

A resignation letter must be submitted to the relevant head of department. Once it is approved, it must be forwarded to the HR Unit for further processing.

Termination

In case the contract is terminated by AAU, the concerned staff member will receive the notice as stipulated in the employment contract. AAU may waive the notice period and compensate the salary at its sole discretion. Termination can be due to any of the following reasons:

- ✓ Government directives;
- ✓ Workforce reduction;
- ✓ Restructuring;
- ✓ Failure to return from approved leave of absence;
- ✓ Release due to medical unfitness;
- ✓ Continued poor performance ;
- ✓ Gross misconduct.

In accordance with article 120 of UAE's Labor law no. (08) of 1980, AAU may terminate the contract without prior notice and without severance pay in any of the following cases:

1. If the worker adopts a false identity or nationality or submits forged certificates or documents;
2. If the worker is engaged on probation and is dismissed during the probation or on its expiry;
3. If the worker makes a mistake resulting in substantial material loss for the employer, on condition that the latter notifies the Ministry of Labor of the incident within 48 hours of his/her becoming aware of its occurrence;

4. If the worker disobeys instructions respecting industrial safety or the safety of the workplace, on condition that such instructions are in writing and have been posted up at a conspicuous place and, in the case of an illiterate worker, that she/he has been acquainted with them orally;
5. If the worker does not perform his basic duties under the contract of employment and persists in violating them despite the fact that he/she has been the subject of a written investigation for this reason and that he/she has been warned that he will be dismissed if such behavior continues;
6. If the worker reveals any secret of the establishment in which he/she is employed;
7. If the worker is finally sentenced by a competent court for an offence involving honor, honesty or public morals;
8. If the worker is found in a state of drunkenness or under the influence of a drug during working hours;
9. If, while working, the worker assaults the employer, the responsible manager or any of his work mates;
10. If the worker is absent from his/her work without a valid reason for more than 20 non-consecutive days, or more than seven consecutive days, in any one year.

4.1. Graduate Assistants

Al Ain University of Science and Technology offers several graduate programs. AAU encourages full time graduate students to apply for teaching assistant positions. As teaching assistants, they will assist some faculty members with several tasks including course preparation, grading, record keeping, and collecting data for research; in turn, the teaching assistants receive financial aid



5. STUDENTS

5. a. Undergraduate Admissions Policy

AAU student admission policy is based on the student's academic achievements in the secondary school certificate or its equivalent, regardless of his/her gender, ethnicity, religion, age, disability, or national origin. If, for any reason, documents presented by the applicant are deemed to be fraudulent, AAU reserves the right to expel the student without refund, or prior notice .

The following are the general admission requirements. Applicants are required to:

- I. Possess a secondary school certificate or its equivalent with a grade average of no less than 60 % ;
- II. Possess a Foundation Year certificate if his/her grade average in the general secondary examination is less than %60;
- III. Satisfy any additional admission requirements of the college that he/she intends to apply to;
- IV. Hold a valid English Language Proficiency score of at least 500 in TOEFL ITP, or Band 5 in IELTS. Applicants to both the College of Law and the Arabic Language and Islamic Studies Teacher Program are exempt from this requirement.

All documents submitted for admission purposes become the property of AAU and are not returned to the student.

Admission Requirements and Required Documents

A student who wishes to enroll at AAU fills out an application form from the Admission and Registration Unit, pays the non-refundable application fee at the Financial Department, and submits the application according to the dates announced by AAU.

A student will not be accepted at AAU unless his/her academic file is complete. This file includes an application form that is to be signed by the applicant as well as the documents listed below.

General Secondary Students

Science and Arts Stream

Any student who has a General Secondary certificate with an average of 60 % or above may enroll at AAU, and must include the following documents with his/her application form:

- I. A General Secondary school certificate /transcript, or its equivalent attested by the Ministry of Education in the UAE . (An attested copy may be submitted);
- II. A valid English Language Proficiency certificate of no less than 500 in the TOEFL ITP, or Band 5 in IELTS;
- III. A copy of a valid passport;
- IV. Two passport-sized photographs;
- V. A Health Certificate.

Technical Stream

Any student who has a Technical Secondary Certificate with an average of 65% or above may apply to AAU in any of the following colleges; Business Administration, Education, and Law.

The applicant must meet the admission requirements of the specified college he/she wishes to join, and should include the following documents with his/her application form:

- I. A General Secondary certificate transcript . An attested copy may be submitted;
- II. A certificate of equivalency that is issued by the Ministry of Education in the UAE;
- III. A valid English Language Proficiency certificate of no less than 500 in the TOEFL ITP, or Band 5 in Academic IELTS;
- IV. A copy of a valid passport;
- V. Two passport-sized photographs;
- VI. A Health Certificate.

College Admission Requirements

Students may be admitted into a college at AAU based on the special admission requirements that are determined by each college. The following table specifies the different college admission requirements:

| College | Program | Minimum Grade Average | Track | |
|--|--|-----------------------|---------|------|
| | | | Science | Arts |
| Engineering and Information Technology | Computer Engineering | %60 | √ | |
| | Networks and Communications Engineering | %60 | √ | |
| | Computer Science | %60 | √ | |
| | Software Engineering | %60 | √ | |
| Pharmacy | Pharmacy | %70 | √ | |
| Law | Law | %60 | √ | √ |
| Education | English Language Teacher Education | %60 | √ | √ |
| | Information Technology Teacher Education | %60 | √ | |
| | Arabic Language and Islamic Studies | %60 | √ | √ |
| Business Administration | Management | %60 | √ | √ |
| | Accounting | %60 | √ | √ |
| | Finance and Banking | %60 | √ | √ |
| | Marketing | %60 | √ | √ |
| | Human Resource Management | %60 | √ | √ |
| | Management Information Systems | %60 | √ | √ |

English Language Proficiency and English Language Level Regulations

With the exception of the College of Law and the Arabic Language and Islamic Studies program, the English language is the medium of instruction at AAU. A student who has not submitted an English Language Proficiency Certificate with his/her application needs to sit for the AAU English Placement Test.

Based on the results of the test, the student will be placed in one of the English language levels. In addition to the language level courses, a student is allowed to register for General University Requirements. If the student obtains the required English Language Proficiency certificate while studying at any of the levels prescribed, he/she may drop the language level taking into consideration AAU regulations and the academic calendar.

If the student obtains a result in the placement test that exempts him/her from taking a language level, he/she is allowed to register for any of the General University courses for up to a maximum of 18 credit hours.

A student may not study more than 18 credit hours before obtaining the required English Language Proficiency certificate.

For the College of Law students and those enrolled in the Arabic Language and Islamic Studies program, if a student fails to obtain the required grade in the placement test, he/she is required to register for the Intensive Remedial English Course. He/she can also register for up to 15 credit hours along with the Intensive Remedial English Course.

5. b. Graduate Admissions Policy

1. Master of Law Admission Requirements

1.1. Unconditional Admission:

To be admitted into the Master in Law program, the applicant must have:

- A Bachelor degree in law or an equivalent obtained from a university accredited by the UAE.
- A CGPA of at least 3 out of 4, or an equivalent in the Bachelor level.
- A valid English Language Proficiency score of at least (450) in TOEFL ITP, (4.5 band) in IELTS, or equivalent.

1.2. Conditional Admission

A student with a CGPA between 2.5 and 2.99 may be granted conditional admission provided he/she:

- a. Takes a maximum of six credit hours in the first semester of study
- a. Must achieve an overall grade point average of 3 on a scale of 4, or its established equivalent, in the first semester studied for the program.

2) A student whose undergraduate degree is in Shari' a and Law, or Police and Legal Sciences need to have studied at least 65% of the requirements in Law courses. If not, the student will need to take pre-Master courses.

2. MA in TESOL Admission Requirements

To be admitted into the MA in TESOL program, the applicant must have:

- A Bachelor degree, or its established equivalent, in English/Linguistics/English Language Teaching approved by the UAE Ministry of Higher Education and Scientific Research.
- A CGPA of at least 3 out of 4, or an equivalent, on the Bachelor level
- For non-native speakers of English, a valid English Language Proficiency score of at least (550) in TOEFL ITP, (79) in TOEFL iBT, (213) in TOEFL CBT, or (6 band) in IELTS.
- All applicants to the MA in TESOL program are required to sit for an interview with the program coordinator.
- Prior to the interview, applicants are required to submit a written essay.

3. Professional Diploma in Teaching Admission Requirements

To be admitted into the Professional Diploma in teaching program, the applicant must have:

- A BA, BSc, or its established equivalent, in a relevant discipline approved by the UAE Ministry of Higher Education and Scientific Research.
- A CGPA no less than 2.0 or a rating of (very good).

4. MBA Admission Requirements

4.1. General Requirements

To be accepted in the MBA program, the applicant must have:

1. A Bachelor degree or an equivalent obtained from a university accredited by the UAE.
2. A Cumulative Grade Point Average (CGPA) of 3.0 on a 4.0 point scale (or its established equivalent) in the applicant's Baccalaureate degree program.
3. A TOEFL score of 550 on the Paper-Based, 213 on the Computer-Based, or 79 on the Internet-Based test, or the equivalent score on another standardized test approved by the Ministry of Higher Education & Scientific Research (MOHESR), (such as IELTS score of 6.0), is required of all students admitted to MBA program with the following exceptions:
 - A native speaker of English who has completed his/her undergraduate education in an English medium institution in a country where English is the official language.
 - A student admitted to and graduated from an English medium institution who can provide evidence of acquiring a minimum TOEFL score of 500 on the paper-Based test, or its equivalent on another standardized test approved by the MOHESR, upon admission to his/her undergraduate program.

4.2. Conditional Admission:

1. A student with a recognized baccalaureate degree and a TOEFL score of 530 (197 CBT, 71 iBT) or its equivalent on another standardized test approved by the Commission may be admitted conditionally to the program if he/she meet the following requirements during the period of conditional admission or be subject to dismissal:

- Must achieve a TOEFL score of 550, or equivalent, by the end of the first semester;
- May take a maximum of six credit hours in the first semester of study, not including intensive English courses;
- Must achieve an overall grade point average of 3 on a scale of 4, or its established equivalent, in the first nine credit hours of credit-bearing courses studied for the program.

2. A student with a recognized Bachelor degree with a CGPA between 2.00 and 2.99 on a scale of 4, or its established equivalent, and who meets the English language competency requirements for general admission stated in part 3 above must meet the following requirements:
 - Takes a maximum of nine credit hours in the first semester of study
 - Must achieve an overall grade point average of 3 on a scale of 4, or its established equivalent, in the first nine credit hours of credit-bearing courses studied for the program.
 - The final decision will be based on an interview arranged by the Director of the MBA program.

4.2. Non-Business Graduates:

In addition to all of the above mentioned requirements, non-business major students will be enrolled as pre-MBA students, where they must study some business courses. The Pre-MBA courses are provided to students (with non-business background) in a case by case basis. The student should study up to four undergraduate courses offered by the College of Business Administration based on the needs for each student as decided by the MBA Committee. A student can waive one or more of these courses if he/she has studied them before.

Admission of Transfer Students

Course work completed at another accredited University may be accepted in the one of the Masters programs with the following conditions:

1. Credit towards the **Masters** degree must be at the postgraduate level and must have received grades of at least **B**.
2. Credits to be transferred must relate to the content of the courses and/or be comparable to those offered at the University. Copies of catalog course descriptions or course syllabi are required to process requests for the transfer of credits.
3. The maximum approved transfer credits toward a Masters program must not exceed **12** credits.

Admission of Audit Students

An individual may enroll at any of Master programs for non-degree study on either a full-time or part time basis. Although such individuals are classified as non-matriculating, they are provided an opportunity for academic study with concentration in a particular area of interest: 1. They are not entitled to earn a degree from the university without gaining admission to the Masters program. 2. Non-degree students who take one or more than one course per semester, or who take courses for more than one semester, must also receive approval from the Director of the Masters program at the relevant college.

Admission of Visiting Students

Students from other universities may enroll as visiting graduate students at AAU's Master programs for credits to be transferred to their universities. To be admitted as a visiting graduate student, a student should submit a request and an official letter from the student's home university:

1. A request for visiting student admission to the Master programs in question.
2. An official letter from student's home university pointing out the courses that the student may register for in the program.

5. c. Transfer Admissions Policy

Students Transferring from Other Universities or Colleges

A student who is registered at another University or college may apply to transfer to Al Ain University, provided that the University or college from which the student is transferring is accredited by the Ministry of Higher Education and Scientific Research in the UAE.

Admission Requirements for Transfer Students

The following regulations apply to transfer students:

- I. The student must meet the general admission requirements of AAU as well as the admission requirements of the specified college he/she wishes to attend;
- II. The student must have successfully completed at least nine credit hours at his/her previous university or college;
- III. The student had to have been a full time student at the previous university or college.

The following documents must be included with the student's application:

- I. A General Secondary school certificate /transcript, or its equivalent attested by the Ministry of Education in the UAE. (An attested copy may be submitted);
- II. A valid English Language Proficiency certificate of no less than 500 in the TOEFL ITP, or Band 5 in IELTS;
- III. A copy of a valid passport;
- IV. Two passport-sized photographs;
- V. A Health Certificate. In addition, an official and attested transcript from the previous University or college showing all earned credits and grades, along with the university's course catalog, describing the courses the student had previously taken.

5. d. Advanced Standing Policy

At the moment, AAU does not accept any forms of non-degree certificates, non-credit courses, or advanced high school subjects as an equivalent to any of the credit-hour courses offered at any of the AAU accredited programs.

5. e. Recognition of Prior Learning

Policy and Procedure for Recognition of Prior Learning (RPL).

Recognition of prior learning (RPL) is an assessment process that assesses the individual's non-formal and informal learning to determine the extent to which that individual has achieved the required learning outcomes, competency outcomes, or standards for entry to, and/or partial or total completion of, a qualification. RPL plays an integral role as an important agent for the transformation of education and training. In AAU, applicant to the MSC program with relevant work experience in hospitals may be awarded for their prior learning. They should first fill recognition of prior learning application form. The application will be reviewed by the RPL committee headed by the coordinator of the MSC program. The aim of the committee is to compare the previous learning and experience of an individual learner obtained

through formal, informal and non-formal learning against the learning outcomes required of the training courses of the MSC program. Applicants should provide valid and reliable evidence of their prior learning and may be invited for a formal interview with the committee in order to assess their skills and knowledge.

The following documents must be attached to support the application for credit transfer based on work experience:

1. A detailed statement from the employer/s describing the competencies, duties and responsibilities of the applicant.
2. A statement of duties and responsibilities including the official title and dates employed of the applicant.
3. Personal statement describing how the work/life experience of the applicant relates to the present course or particular unit in the present course.
4. Current Curriculum Vitae of the applicant.

Applications for recognition of prior learning will normally be assessed within 20 working days. When full assessment is required, a longer period may be required particularly at peak admission and enrollment times. Applicants will be informed by the committee about the module for which the applicant receives recognition.

If you are not granted the requested RPL, you will be informed of the reason of rejection. If you believe your application has not been finally or fairly assessed, you may request a review of the application and may lodge a formal written appeal within 10 working days of receipt of notification of the outcome of your application.

In MBA program, non-business students are required to study 4 pre-MBA business courses at undergraduate level. However, a student can waive one or more of these courses if he/she studied them previously in the undergraduate degree”.

Students who hold a Diploma

Students who hold a diploma may apply to Al Ain University, provided that the University or college from which the student obtained the diploma is accredited by the Ministry of Higher Education and Scientific Research in the UAE .The student must also meet the general admission requirements of AAU as well as the admission requirements of the specified college he/she wishes to attend.

The following documents must be included with the application:

- I. A General Secondary school certificate /transcript, or its equivalent attested by the Ministry of Education in the UAE. (An attested copy may be submitted);
- II. A valid English Language Proficiency certificate of no less than 500 in the TOEFL ITP, or Band 5 in IELTS;
- III. A copy of a valid passport; Visiting Students
- IV. Two passport-sized photographs;
- V. A Health Certificate;

- VI. An official, attested transcript from the previous university or college showing all earned credits and grades, along with the University's course catalog, describing the courses the student had previously taken;

In addition, a certificate of equivalency for the diploma issued by the Ministry of Higher Education and Scientific Research in the UAE should be shown if the diploma is from a country other than the UAE.

5. f. Student Records and Information Release Policy

- I. A student's file is considered a confidential document. Nobody is allowed to access the file except for the student, the student's parents, his/her sponsor, the AAU President, the Vice President, and/or the Registrar General.
- II. The University may disclose routine information without prior notice or written consent from the student. Such information is limited only to the following: the student's name, degree received, major of study, and any awards that the student may have received while at the University.
- III. A student has the right to inspect, and review all documents that are kept in his/her record, and request to change or update his/her personal data. The University may release information other than routine information upon written consent from the student.
- IV. This consent must specify the information that is to be disclosed by the University, and provide the names and addresses of the individuals or institutions, to which the disclosure is to be made.
- V. The University reserves the right to disclose the student's academic records to the student's parents, and/or to any private or public authority that might be sponsoring the student.

5. g. Career Service Policy

a. Career Counseling

This service is to help the student identify his/her career options and develop the skills necessary to find employment. Counselors will help students match their interests and abilities with possible careers.

They offer workshops on career planning, resume writing, interviewing techniques and conducting a job search. The career planning programs will host job and career fairs and bring representatives from various companies to campus. Information about graduate options is also provided.

b. Career Placements

The Deanship of Student Affairs receives application from students who wish to work on campus. The Deanship then forwards the applications to the Human Resources Unit to contact the applicants according to their skills and available openings.

5. h. Residential Life Policy

Safety Information

Fire Safety

What to do in the event of a fire in the building you are in:

- Do not try to extinguish the fire yourself unless it is small and you are confident of your ability to extinguish it. There are fire extinguishers around the buildings that are fire specific.
- If you hear the alarm sound, please leave the building in a calm and orderly fashion and close the door behind you to prevent smoke and other toxic gases escaping.
- Do not use the elevator.
- Go down to the ground floor by the stairs without rushing.
- Locate the nearest exits to you. Clarify your escape route and make a note of the number of doors that are on the way out so as not to get lost in the event of power failure or a smoke-filled corridor.
- Go to the assembly point and wait until they are sure of the presence of all those who were in the building.

Laboratory regulations

The University is keen to create the best learning environment for students and faculty members when it comes to laboratories. The management assures:

- The maximum use of time;
- The proper use of funds;
- The safety of the student(s);
- The safe use of the equipment;
- The welfare of the University assets

Student(s) are invited to abide by the following rules and regulations:

- Observing the AAU dress code while in the laboratory
- Food, drinks and smoking are not allowed
- All bags must be left in the areas indicated
- Following the laboratory timetable, prior permission from the laboratory supervisor must be obtained if any change is to be made
- Be punctual for laboratory sessions
- Workspace must be kept clean and tidy at all times and points may be deducted for students/groups who fail to follow this
- Handling all apparatus with care, all students are liable for any damaged equipment through their own negligence

Student(s) are strictly prohibited from taking out any items from the laboratory without permission from the laboratory supervisor

- Student(s) are not allowed to enter the laboratory if the supervisor is not there
- Consult the laboratory supervisor if they are unsure of any equipment
- Immediately report to the laboratory supervisor if any accident has occurred
- Immediately report any damage to equipment, hazards, and potential hazards.

Security

The role of AAU security is the 24 - hour protection of AAU. The tasks of the security are the following:

1. At the end of every day ,ensure electricity and air conditioners are all switched off and all doors are locked;
2. Monitor and ensure male and female students do not mix;
3. Organize traffic at the main gates of the university;
4. Monitor female students exit permits.

5. i. Student Finance Policy

Financial Information

Tuition Fees and Other Fees

The University charges the following tuition fees and other University fees to registered students.

The University reserves the right to make changes without prior notice to the published tuition fees and other fees.

Al Ain Campus

| Item | AED |
|-------------------------|---|
| Application to join AAU | 500 non refundable |
| Registration fees | 300 for each semester |
| Tuition fees | 800 per credit hour for the University Requirement Courses |
| | 900 per credit hour in the College of Business Administration |
| | 1100 per credit hour in the College of Law |
| | 800 per credit hour in the College of Education |
| | 2200 per credit hour in the MBA program |
| | 1250 per credit hour in the College of Pharmacy |
| | 1000 per credit hour in the Professional Diploma in Teaching |
| | 1000 per credit hour in the Computer Science and Software Engineering programs |
| | 1100 per credit hour in the Computer Engineering and Communications and Networks Engineering programs |
| | 2000 per credit hour in the MA in TESOL program |
| | 2400 per credit hour in the Master of Law programs |
| English Placement Test | English Placement Test |
| Orientation Fees | Orientation Fees |

| Item | AED |
|--|-------------------------------|
| Student Services | 200 per semester |
| Late Registration Fee for the First Week | 500 |
| Late Registration Fee after the First Week | 700 |
| Re-sit Exam Fee | 1000 |
| Readmission Fee | 500 |
| Deposit* | 1000 refundable on graduation |

*The deposit money is an amount from which the University may make deductions with respect to any outstanding fees, fines, damages, or any other charges that might be incurred by the student.

Abu Dhabi Campus

| Item | AED |
|--|--|
| Application to join AAU | 500 non refundable |
| Registration fees | 300 for each semester |
| Tuition fees | 1000 per credit hour for the University Requirement Courses |
| | 1100 per credit hour in the College of Business Administration |
| | 1200 per credit hour in the College of Law |
| | 2200 per credit hour in the MBA program |
| English Proficiency Placement Test | 300 |
| Orientation Fees | 300 paid once |
| Student Activities | 200 per semester |
| Late Registration Fee for the First Week | 500 |
| Late Registration Fee after the First Week | 700 |
| Re-sit Exam Fee | 1000 |
| Readmission Fee | 500 |
| Deposit * | 1000 refundable on graduation |

*The deposit money is an amount from which the University may make deductions with respect to any outstanding fees, fines, damages, or any other charges that might be incurred by the student.

Refund Policy

A registered student, who applies to cancel his/ her registration, or withdraws from the University before a semester is completed, will be granted a pro rate refund of that semester's tuition fees according to the schedule below:

- I. Within the first week of the semester 100% refund
- II. During the second week of the semester 60% refund
- III. After the second week of the semester, no refund

A student who is suspended or expelled from the University for Disciplinary Reasons forfeits all rights to a refund.

Grants and Financial Aid

The purpose of the Grants and Financial Aid fund is to offer financial grants to students who excel academically or in extracurricular activities. It also offers financial awards to students who attain scientific achievements.

First: Academic Grants

1. The University offers grants to the General Secondary School students according to the following criteria:
 - I. The top five students in the country are offered a full grant;
 - II. Students who achieve a grade average of %95 or above in the General Secondary School ,in either the literary or scientific streams ,are offered a grant that is equivalent to a %40 discount of the fees for the credit hours they register for at AAU;
 - III. Students who achieve a grade average of between %90 and %94.9 in the General Secondary School ,in either the literary or scientific streams ,are offered a grant equivalent to a %30 discount of the credit hour fees.
2. The University offers excellence grants that are equivalent to %30 of the credit hour fees to any student whose general grade point average in a semester is not less than 3.6 with the condition that he/she has completed 15 credit hours in that semester.
3. The University offers grants to the siblings and relatives of currently enrolled students as per the following:
 - I. With the exception of the first student ,each of the student's siblings who register in each semester are offered a grant equivalent to a %20 discount of the credit hour fees.
 - II. Parents ,sons and daughters ,and spouses ,registered in each semester are treated as siblings.
4. The University offers grants to students when the father (or their primary provider) passes away during their University studies. This grant is %50 of the student's tuition fees, and continues until the student is awarded a Bachelor Degree by AAU .The following rules govern this type of grant:
 - I. An attested death certificate shall be submitted;
 - II. The student has not been awarded another scholarship from any other official party;
 - III. The student will only benefit from this grant in the semester following the submission of the relevant death certificate;
 - IV. The student does not have other resources which enable him/her to continue his/her university studies.
5. The University offers the sons and daughters of the university's academic and administrative staff , grants up to the value of %50 of the credit hour fees ,with the exception of graduate students.

Second: Extracurricular Activities and Humanitarian Aid Grants

- a. The University offers grants for one academic semester to students with excellence in sports.
- b. The University offers grants for one semester for students who cannot afford to pursue their studies.

Based on the recommendation of the Deans' Council at the beginning of each academic year, the University president forms a committee called The Grants and Financial Aid Committee. The committee is responsible for making decisions regarding humanitarian financial aid granted to students.

Third: 'Musahama' Fund

'Musahama' Fund for student financial aid was established as a result of AAU's concern for the welfare of the students its continued support to them. The funds come from the donations and grants from bodies that wish to help students facing financial difficulties. The 'Musahama' Fund Committee was formed by a decision from the Board of Trustees to set the regulations and procedures of the Fund.

Grants Regulations

1. These grants are given on the undergraduate level only.
2. Students can apply for grants at the beginning of every semester, except the summer session.
3. The minimum CGPA for the continuation of all grants, except the General Secondary and Academic Excellence grants, is 2.5
4. For the continuation of the General Secondary grants, the student's CGPA should not be less than 3.6.
5. For the continuation of the Academic Excellence grants, the student's SGPA should not be less than 3.6.
6. Grants and discounts do not apply to English Language Levels, registration fees, or extracurricular activities' fees.
7. A student is entitled to one grant at a time. In case a student qualifies for two grants, he/she shall receive the higher.
8. Grants do not apply to repeated courses.
9. Financial commitments are to be paid on time.
10. The student shall not receive a grant for a semester in which he/she has received a warning.
11. The student should not have received a disciplinary punishment.
12. Grants and discounts are not given backdated.
13. Grants and discounts do not apply for the summer session.
14. A student receiving a grant cannot postpone studying for the duration of the grant.
15. A student receiving a grant is expected to be exemplary in terms of abiding by the AAU Student Code of Conduct.

5. j. Student Disciplinary Policy

Student Code of Conduct

The statements hereunder define some areas of ethical conduct that govern AAU members' behavior towards their peers, faculty members, the University, and the community. These statements do not address every situation; rather, they aim at providing the student with an overview of a general perspective on the code of ethics governing Al Ain University.

Compliance with AAU's Rules and Regulations

All students at AAU shall abide by the rules and regulations applicable at AAU. If the student is uncertain about any issue, s/he may refer to the HR Manager, the Department Head, the College Dean, AAU Vice President, or AAU President.

Harassment or Discrimination

Al Ain University upholds the principle that all individuals have the right to be treated with respect and equality. Any harassment, discrimination, or prejudicial treatment towards peers, faculty members, or administrative staff on grounds of ethnicity, religion, national origin, gender, country of citizenship, age, or disability status undermines the AAU's essential ethics and shall not be tolerated.

Conflict of Interest

Students are in obligation to avoid any situation where their personal interests conflict or could be interpreted as being in conflict, with those of AAU.

Intellectual Property

Al Ain University advocates the ownership of intellectual material as stipulated by copyright laws. Students have the obligation to comply with AAU's Copyright Policy (see Section 5).

Confidentiality

Al Ain University prohibits any form of disclosure or dissemination of confidential information obtained during or after studying with AAU.

Possession of Dangerous Weapons

Unauthorized possession of a firearm, weapon, dangerous chemicals, illegal knives, or any dangerous device on University grounds.

Possession of Controlled Substances and Alcoholic Beverages

It is an offence to possess, distribute, or consume any drugs or alcoholic beverages on University grounds.

AAU No Smoking Policy

AAU is committed to providing a smoke-free environment to protect the health and comfort of members of the university community from the adverse effects of tobacco smoke. This policy shall be implemented by the following rules and regulations, which may be changed from time to time.

Rules and Regulations

- I. There shall be no smoking of tobacco products within any building or facility owned or operated by the University, except as provided below.
- II. Smoking is permitted in the outdoor areas of the university premises.
- III. While all other buildings and facilities on University property are smoke-free, it should be particularly noted, there shall be no smoking in:
 - a. Conference rooms, classrooms, laboratories or lecture halls; or in auditoriums;
 - b. Offices;
 - c. Libraries and bookstores;
 - d. Cafeterias and food and beverage service areas;
 - e. Storage or warehouse areas, and anywhere that hazardous substances are found;
 - f. Corridors, lobbies, entries or stairways;
 - g. Sports or recreational areas.

Disciplinary Policies

Student Disciplinary Regulations

The articles of these regulations apply to all students enrolled at AAU.

Disciplinary Violations

The following actions are considered offences and any student who is found to have committed any such action is subject to the disciplinary punishment set forth in the regulations below:

- I. Violation of AAU rules ,regulations ,decisions ,or the incitement to violate any such rules;
- II. Refraining intentionally from attending lectures and lessons which require attendance by regulations ,or the incitement of others to be absent from a lecture;
- III. An action which is taken that affects the honor, dignity, and ethics, is contrary to good conduct or jeopardizes the reputation of the university or any of its staff .This applies to any act committed by a student outside the campus in activities involving AAU ,or in which AAU takes part;
- IV. Cheating in an exam ,participating in cheating ,the initiation of cheating ,breaching exam regulations ,and/or disrupting the quiet atmosphere of an exam;
- V. Participation in the organization of any activity on campus without a prior permit from the relevant authorities at AAU, or the participation in any activity in violation of the regulations in force at AAU, or the incitement to perform such actions;
- VI. The use of university buildings and facilities for purposes other than those intended for them;
- VII. The distribution of leaflets ,the issuance of bulletins ,or the collection of signatures or donations ,prior to obtaining approval from the relevant authorities at AAU or the abuse of such approval;
- VIII. Damaging any AAU moveable property or stealing it;
- IX. Engaging in any act of violence ,whether physical ,or verbal abuse;
- X. Causing disorder during lectures and seminars organized by the university;
- XI. Impersonating others in any matter related to AAU affairs;

XII. Providing incorrect information in any forms or applications that are submitted by a student to AAU.

XIII. A student who takes an exam instead of the designated student is considered as cheating and as such cheating penalties are applied to both students . However, in the case where the person who enters the examination room is not an AAU student ,he/she will be referred to the relevant security authorities.

Proper use of Facilities

AAU students are required to adhere to common practice of proper use of the AAU facilities. The following are examples of misuse and may lead to disciplinary actions:

Offences

- **Disruption/Obstruction:** Obstructing or interfering with University functions or any University activity disturbing the peace and good order of the University.
- **Destruction of Property:** Intentionally or recklessly damaging, destroying, defacing, or tampering with University property or any other person or business on campus.
- **Forcible Entry or Trespassing:** Forcible or unauthorized entry to any building, structure, or facility and/or unauthorized entry to or use of University grounds.
- **Unauthorized Use of Property or Service:** Unauthorized use of property or services or unauthorized possession of University property or the property of any other person or business.
- **Unauthorized Use of University Keys:** Unauthorized use, distribution, duplication, or possession of any key(s) issued for any building, laboratory, facility, room, or any other University property.
- **Misuse of Safety Equipment:** Unauthorized use or alteration of fire fighting equipment, safety devices, or other emergency equipment

Disciplinary Punishments

If a student commits any of the disciplinary violations set forth in these regulations ,after questioning him/her, he/she shall be subject to one or more of the following disciplinary punishments according to the gravity and circumstances of the violation:

Written Reprimand

All levels of warning ,first and second .If a student receives a third warning ,he/she will be expelled from the University for one semester .Other penalties include:

- I. Fines of at least two-thirds of the current price of any object(s) (that the student may have destroyed);
- II. Withholding for a limited period the university services provided by one or more of the AAU facilities where the violation took place;
- III. Withdrawal for a limited period taking part in student activity/activities during which the violation took place;
- IV. Dropping one or more courses in the semester during which the violation took place;
- V. Cancelling the final exams of one or more courses in the semester during which the violation took place and giving the student zero in the cancelled course)s;(

- VI. Temporary suspension from AAU for a period of one to four semesters .The summer session is not considered a semester for this purpose .In addition to this ,courses that may be studied at another institution during the period of suspension will not be accepted as transferred credit by AAU;
- VII. Final expulsion from AAU;
- VIII. Postponing the student’s degree.

Disciplinary Procedures

The Chair of the Student Disciplinary Committee summons the student who is accused of committing the offence to appear before the Committee .The Chair of the Committee shall be responsible for the committee’s meetings ,recording the minutes ,and preparing reports.

The student has the right to submit any information to the Committee including requesting witnesses . The Committee signs the minutes of the investigation ,and the testimony of witnesses and the students referred in it .Everyone whose testimony the Committee hears also signs the minutes.

All disciplinary decisions of the Committee are final following the approval of the Dean’s Council .A student who receives a penalty may appeal to the Dean’s Council within fifteen days from the date of the decision .If the student does not appeal the penalty decision within the time limit ,the disciplinary decision issued against him/her is considered final.

The decision of the disciplinary punishment shall be kept in the student's file .The student's guardian or the person/organization that is responsible for his/her scholarship will be notified of the decision .The AAU President , the Deans ,relevant department chairs ,Directors of centers ,and heads of departments at AAU shall be responsible for implementing the provisions of these regulations.

Student Disciplinary Committee

Based on the recommendation of the Deans’ Council at the beginning of each academic year ,the AAU President forms a Student Disciplinary Committee.

The Committee investigates violations committed by students .It also gathers information ,verifies it , and recommends the appropriate penalty.

5. k. Student Activities Policy

Student Activities

Student activities are a social and cultural must as they are considered a major component of the modern curriculum in its broad sense which is not restricted to knowledge and information offered by textbooks. In fact, the educational process is based on the student’s participation in acquiring knowledge and skill.

Student Council Committees

The committee elects the heads of committees and deputies from its members .The committees can seek the assistance of students who they deem appropriate after obtaining the approval of the Deanship of Student Affairs.

The general duties of Student Committees are to:

- I. Prepare an annual timeline for the committee’s activities and integrate this timeline into the general plan of the Student Council’s plan;
- II. Provide all the facilities and necessary arrangements for student activities;
- III. Participate in external activities;

- IV. File, document, and archive all correspondence and reports;
- V. Coordinate with AAU colleges and departments to ensure the success of the activities;
- VI. Observe the rules and regulations of AAU and the UAE in each activity;
- VII. Prepare semester and annual reports.

Student Committees

For the purposes of carrying out its duties, the Student Council forms the following permanent committees:

The Cultural Committee

- ✓ The Cultural Committee seeks to employ the Arabic language in the students' academic life , and develop the students' cultural skills and talents.
- ✓ Organizing cultural lectures, symposia and activities;
- ✓ Preparing and disseminating magazines;
- ✓ Organizing cultural competitions.

The Social Committee

Social activities help nurture students who have the ability to lead; in addition, they prepare young men and women to carry out certain social responsibilities. This committee also develops the students' relationships with each other and with the university environment .

The tasks of the Social Committee include:

- ✓ Organizing lectures and symposia pertaining to social activities;
- ✓ Visiting national humanitarian facilities (orphanages and nursing homes);
- ✓ Conducting social research.

The Sports Committee

Sports activities encourage athletic talents and challenge students to express themselves and their energy, through helping their physical and mental development. The tasks of the sports committee include:

- ✓ Organizing sports competitions between the students in the college(s), the university ,and outside the university;
- ✓ Organizing fitness exercises and classes;
- ✓ Organizing competitions amongst college teams.

The Organizational Committee

This committee supports communication and interaction among AAU students in addition to developing their leadership skills, self-dependence, and sense of responsibility. The Deanship of Student Affairs collaborates with the members of this committee to carry out a number of tasks including:

- ✓ Taking part in keeping order and organizing celebrations and various events;
- ✓ Assisting freshmen during registration and orientation.

The Arts Committee

The Arts Committee fosters the students' artistic and creative talents through:

- ✓ Participating in artistic activities on campus and off campus;
- ✓ Organizing creative competitions such as designing logos for special occasions or events, composing poetry, writing prose, etc;
- ✓ Organizing literary seminars and poetry recitals;
- ✓ Organizing competitions and exhibitions showcasing students' creative output in calligraphy, photography, painting, etc.

The Rangers Committee

The Scouts Association is an educational, voluntary movement that is open to everyone. The association aims at taking part in developing young people's physical, mental, social and spiritual abilities so that they may become positive individuals who participate in the service of the local community. The committee aims to prepare young adults for wise leadership and organize training camps during the academic year.

5.1. Student Publications Policy

Policies for Students' Publications

- It is forbidden for any student on the campus of AAU to put up/out any announcement, newsletter, magazine or any other publication without written permission from the Dean of Student Affairs.
- If the student would like to announce his/her nomination for the Student Association, he/she must take permission from the Dean of Students Affairs.
- Announcements must only be put in the announcement table.
- The announcement for meetings or any activity of the Student Association Committees must be approved by the Dean of Students Affairs for coordination between the different committees.
- Newsletters or magazines produced by the Student Association as a whole or a committee must be approved by the Dean of Students Affairs.
- All publications must comply with the ethics of the University and the society.
- The AAU logo is free to use and available for download on the website. However, disciplinary action could be taken if the logo is used inappropriately as deemed by the University.
- It is the responsibility of the Dean of Students Affairs to ensure that all students' announcements are in compliance with the above regulations. If any announcement does not comply with these regulations, the Dean of Student Affairs has the right to remove it. The student who is not compliant with these regulations will receive a verbal or a written warning from the Dean of Students Affairs.

5. m. Rights and Responsibilities Policy

Student Rights and Responsibilities

- I. No member of the University community shall be deprived of academic freedom, personal rights and liberties without due and fair processes of applicable University regulations;
- II. No disciplinary sanctions may be imposed upon any member of the University community under authority of the University without fair and due process provided;
- III. Each student has a duty to understand the rules and regulations set forth by the University. Ignorance of a rule or regulation shall not be an acceptable defense by the conduct council hearing board.

5. n. Student Counseling

Student Counseling Unit

This unit seeks to counsel and advise students in the areas below:

a. Personal Counseling

This includes the following:

- To identify and follow up with student problems and providing appropriate solutions;
- Providing individual as well as group advising for students while maintaining the highest level of confidentiality
- Introducing the freshmen to the AAU facilities as well as guiding and helping them overcome the first and most difficult stage in their university life.
- Activating the role of students in decision-making through their participation in the preparation and organization of sports, cultural, artistic and social development activities.
- Refining the students' personalities educationally, psychologically, emotionally, and socially through supporting their tastes, interests and talents.
- Organizing meetings, lectures and participating in religious and national occasions and events.
- Strengthening the bonds of national unity and sense of belonging to the nation and culture.
- Developing a culture of democracy, justice, equality, and respect for others in an embodiment of the idea of the student parliament.
- Establishing student associations to facilitate the participation of students in various activities.

b. Academic Counseling

The University strongly recommends that all new students attend both the General and the Special Academic Advising sessions ,which are routinely held at the beginning of each semester.

The General Advising session aims to familiarize students with the academic system at AAU ,the services ,the student activities ,and educational resources available at AAU .Special Advising is normally conducted after the students have entered their colleges ,where they are familiarized with their respective Study Plans ,the exams ,and graduation requirements .

They will also meet their academic advisor(s) who will guide and advise the students until they fulfill their graduation requirements.

c. Career Counseling

This service is to help the student identify his/her career options and develop the skills necessary to find employment. Counselors will help students match their interests and abilities with possible careers. They offer workshops on career planning, resume writing, interviewing techniques and conducting a job search. The career planning programs will host job and career fairs and bring representatives from various companies to campus. Information about graduate options is also provided.

d. Career Placements

The Deanship of Student Affairs receives application from students who wish to work on campus. The Deanship then forwards the applications to the Human Resources Unit to contact the applicants according to their skills and available openings.

5. o. Health Services Policy

Through the clinic, AAU provides their students with different services including first aid for emergencies and minor cases such as measuring blood pressure and temperature. They also provide first notice if any cases require hospital attention for follow up tests, and examination. The nurse at the clinic coordinates with relevant organizations to arrange for various awareness lectures and programs.

Furthermore, the University provides health insurance to students which means they can visit clinics and hospitals within the health insurance company's network and receive required medical attention and medicine if necessary.

5. p. Academic Advising Policy

Academic advising constitutes a major concern for AAU. It ensures students have all possible resources and assistance that would help them make the right choices in the course of their study regarding how many credit hours to enroll in, which courses to take first, how to raise their CGPA, etc.

To that end, AAU provides all undergraduate and graduate students with approved study plans coupled with guidance plans that indicate the ideal division of courses to facilitate their completion of graduation requirements within the time limitation.

For students with academic issues, AAU colleges provide academic advising through faculty members, department heads, and deans where attention is given to assisting the students in making the right decisions to be able to raise the CGPA and planning their semester timetable.

5. q. Student Academic Integrity Policy

Expectations for Academic Integrity

Regulations for Cheating in Academic Work

Cheating in academic work is represented by submitting academic work that is not the student's own. It is also the student obtaining information illegally through different means; this may include carrying a mobile phone or other unauthorized electronic devices inside the examination hall.

Cheating Penalties

If a student is found cheating or attempts to cheat in a quiz, midterm exam, final exam, and/or any other coursework, the following penalties are applicable:

The student will fail all courses in which he/she has enrolled for during the semester in which he/she was found cheating.

A disciplinary warning will be added to his/her file.

Procedure

The faculty member who finds a student cheating or attempting to cheat in any academic work should report the incident in full detail to the Dean of the College, who, in turn, will report the case to the Student Disciplinary Committee.

The Chair of the Committee will then call for a meeting to discuss the case of cheating and in turn make a suitable decision.

The student may appeal the decision within one week of the issuance of the decision. The appeal is to be submitted to the College Dean who, in turn, will refer it to the AAU President.

Plagiarism

Definition

According to academic institutions, plagiarism can be defined as the copying or paraphrasing of other people's work or ideas into one's own work without full acknowledgement. All published and unpublished material, whether in projects, assignments or manuscripts, in print or electronic forms are covered under this definition. Collusion is another form of plagiarism involving the unauthorized collaboration of students (or others) in a piece of work. AAU is very serious about plagiarism in its academic environment. To ensure plagiarism is avoided both by the faculty and the students, AAU has adopted certain strategies and procedures.

Awareness on Plagiarism

Understanding plagiarism and its consequences is very important when addressing the issue. In this regard, during orientation week, AAU conducts workshops on plagiarism for the new students as well as for the senior students. Other steps include using the announcements boards to educate students about plagiarism in addition to including the plagiarism policy in the student handbook. Moreover, faculty members inform students about the consequences of plagiarism in case of any assignment or project.

Detecting Plagiarism and Penalty Procedures

AAU is committed to eliminating plagiarism in all its forms. Any case of plagiarism is not taken lightly and will be dealt with in accordance with the AAU applicable cheating penalties and processes.

Nevertheless, to ensure fairness to students, AAU faculty members follow the following steps to check for plagiarism using specialized software:

- a. Assignments/projects of 500 or more words are to be submitted through the software.
- ii. No more than 24% of the assignment/project can be of quoted materials. It is the faculty member's responsibility, however, to ensure that plagiarism is zero%.
- iii. The software settings are determined by the faculty responsible for the course so that it excludes small matches of up to 5 words or 5% of the source. Moreover, quoted or bibliographic materials can be excluded.
- iv. Faculty members allow single or multiple submission of an assignment/project until a specified deadline.
- v. If a student fails to comply with the plagiarism regulations, the faculty member reports the student to the college dean. In this case, the faculty member will print the evidence showing all the matches.
- vi. The college dean makes sure that the matches reported exclude names or references.
- vii. The college dean passes the report to the AAU Disciplinary Committee for further processing.
- viii. The AAU Disciplinary Committee will determine the punishment in accordance with the AAU applicable regulations. (See Section on Cheating Penalties)

5. r. Student Appeals Policy and Procedures

Appealing a Final Exam Grade

A student has the right to appeal a final exam result in any course under the following conditions:

- I. The student must complete an appeal form and submit it to the Admission and Registration Unit within five working days of the announcement of the final grades.
- II. The Admission and Registration Unit submits the appeal form to the specified college responsible for that course. The college will then respond within seven days of receiving the form.
- III. The College Dean forms a committee of three faculty members to revise the final exam paper. The revision will be guided by an answer key which is prepared by the course instructor.
- IV. If an error is found, the course instructor will correct it and submit the result to the Registrar General and Admission and Registration Unit after receiving the approval of the College Dean. The decision of the college is final.

Appealing the decision of the disciplinary committee

At the beginning of the Academic Year, The Deans' Council forms a (Appeals Committee) as follows:

- Dean of the College of Law/ Chair
- Dean of the College of Pharmacy/ Member
- Dean of the College of Business Administration/ Member

The committee looks into appeals made by students against the decisions of the disciplinary committee. The decision of the committee is final.

5. s. Students Grievance Policy

Student Grievance Procedures

At the beginning of the Academic Year, The Deans' Council forms a (Student Grievance Committee) in Al Ain Campus, and another one in Abu Dhabi Campus as follows:

- Dean of Student Affairs/ Chair
- Dean of the relevant college/ Member
- The College of Law (faculty member)/ Member
- The Registrar General/ Member

Grievance application process:

The student submits the grievance to the College Dean. After verifying that the grievance does not fall under any of the AAU applicable regulations, the Dean refers the grievance to the AAU President who, in turn, refers it to the Student Grievance Committee.

The Student Grievance Committee looks into the student's grievance taking all matters into consideration, and then submits a recommendation to the AAU President. (The Committee may recommend referring the grievance to a relevant college/ unit to look into the grievance, and/or provide the Committee with any required documents and/or information. The grievance is then re-discussed to reach a recommendation.

The AAU President presents the recommendation to the Deans' Council where the recommendation will be approved, or discussed, if required.

All relevant parties are notified of the final decision.

The following is a list of examples of student grievance; however, it is, by no means, an exhaustive one. Student grievances may be related to any other financial, administrative, or service-related issues.

- Failing to submit an 'Incomplete' application on time.
- Receiving a 3rd warning for absences at a course due to medical or other issues.
- Complaints against faculty members for not abiding by the syllabus.

Denial of Admission to, or Dismissal from a Program

If a decision is taken against a student to:

- deny admittance to a program;
- dismiss from a program.

The student has the right to appeal to the dean of the college who will designate the formal and informal process (es) by which a student may initiate a review of the disputed academic decision. The formal process must include the following elements:

- I. A request for a formal review which must be applied in writing no later than the end of second week of the next regular semester of making the decision, or within 5 days of receipt of notification of the process;
- II. Permission for extension of time is granted, if a written request is submitted by the student and accepted by his/her academic adviser;
- III. The dean forms a committee to review the case;
- IV. The conclusions of the academic decision review committee will constitute the final decision of the university on the matter;

Unless an extension has been authorized by the dean, disputes concerning academic decisions must be completed by the end of the next regular semester following the decision.



6. LEARNING RESOURCES

6. a. Library

Khalifah Library provides information in both print and electronic form and offers advice, loans and reservations, among other services.

The library houses over 36,000 items including books, periodicals, and multimedia. It also has several subscriptions to electronic databases and journals.

The library follows the Anglo-American cataloguing system and the Library of Congress classification system. All library services are computerized using an integrated system, SYMPHONY, which facilitates access to the catalogues inside and outside the library. Further, the library has 17 rooms for group discussions and 53 computers for internet use.

Technical Departments

Acquisition Department : The department is responsible for the development of the library collections and the selection of resources as well as providing them in collaboration with the deans and department heads.

Catalogues and Classification Department : The Department is responsible for providing bibliographic information for users .

Library Regulations

AAU faculty members ,administrative staff ,and students are entitled to take advantage of the services offered by the library .Visitors from outside the university are allowed to make use of the library services for a registration fee of AED 10 and an AED1000 refundable deposit.

The library offers its services from 8:00 am to 7:00 pm Sunday through Wednesday ;on Thursdays the library is open until 4:30 pm .The library is closed on Fridays ,Saturdays and public holidays.

All library users are to abide by the following:

- I. Maintain a quiet environment in the library;
- II. Present the student's ID when required;
- III. Not to leave the books on the table when done with them;
- IV. Not to use mobile phones inside the library;
- V. Not to smoke inside the library;
- VI. Not to eat or drink inside the library.

Library Services

The Library conducts courses and induction programs to enable users to handle the resources and services available at the library .The library offers the following services:

Lending Services

Users can borrow from the library as follows:

- I. A faculty member can borrow 15 books for 120 days ;
- II. A graduate student can borrow 12 books for 14 days ;
- III. An undergraduate student can borrow 7 books for 7 days .

Users are to abide by the regulations governing lending services as follows:

- I. Borrowed materials are to be returned by the end of the lending period to avoid paying a fine .
Users will not be allowed to borrow library materials until the fine is paid .

- II. Borrowed materials can be renewed through the library website ,by phone ,or by bringing the materials into the library before the end of the lending period .
- III. If the material borrowed is lost or damaged ,an amount of double the price of the material is to be paid ,or the damaged material is to be replaced by the user .

Reservation of Library Materials

Library users may reserve available resources by visiting the library ,through the website ,or by telephone .The validity of the reservation is 3 days only.

Inter-library Loan(s)

The library offers the service of borrowing materials from other libraries within and outside the UAE . Some of the materials borrowed from outside the UAE may require special fees.

E-search Services in the Library

Library users may search the library collections through the use of automated catalogues to obtain the location of the required book or article by the classification number ,and to get all the information on this item and whether it is on loan ,reserved ,etc.

Databases and the Internet Search Service

The library has subscriptions to databases that support all the university disciplines and users can take advantage of these databases at any time both on-campus and off-campus.

Photocopying services

The library provides photocopying services for students for a nominal fee.

Library Collections

The library contains seven (7) kinds of collections :general references ,textbooks ,basic resources , multimedia ,reserved books ,periodicals ,and electronic resources.

General References :A major part of the Library's collections are not for loan .These include references that are used in research and scientific projects.

Multimedia :These include audio-visual materials) cassettes ,videos ,CD-ROM ,DVD ,etc(...

Textbooks :Include all textbooks and related materials.

Basic references :These include dictionaries ,encyclopedias ,manuals ,handbooks ,bibliographic data , yearbooks ,etc...

Reserved books :These books are rare or very important ,such as theses ,research papers ,illustrated books ,exam questions ,official publications ,and small-sized publications.

Periodicals :These include scientific and non-scientific ,local and international journals.

E-Library :Consists of newspapers ,books and electronic journals ,and databases ,available on the library website.

Glossary of Terms Related to the Library

Periodical :A publication published at regular intervals ,and has one clear and distinct title which appears on the first page of each of its issues .A number of writers and scholars take part in writing the articles of the periodical.

Theses/Dissertations :Scientific work submitted by a graduate student to obtain a Masters or a Doctorate degree.

Biographies :Publications containing a brief or detailed account of the lives of people and their achievements.

Manuals :Publications providing information on institutions ,organizations ,and scientific bodies.

Bibliographies :Reference publications which compile intellectual output and categorize it (books , periodicals ,printed ,and non-print materials) at the national, regional, and international levels.

Indexes :Reference publications concerned with articles and materials of scientific journals ,both general and specialized ,as well as newspaper articles, writers, and themes. Indexes facilitate obtaining articles, studies and news for readers and researchers quickly and easily.

6. b. Equipment and Software Support Policy

System Administration

- a. System administrators will routinely make backup copies of all files residing on networked and computers, for use in restoring files when the computer or hard drive crashes;
- b. A system administrator may search, read, or copy files when:
 - (1) Running anti-virus software (infected files will be deleted or modified);
 - (2) Necessary to investigate malfunction of software or hardware;
 - (3) Necessary to investigate possible security breach;
 - (4) Necessary to investigate possible violations of university regulations;
 - (5) Protect public health or safety;
 - (6) Necessary to respond to a search warrant or subpoena.
- c. The system administrator has the right to delete any file(s) belonging to faculty or staffs who are no longer employed by the university, or belonging to a student who has been not enrolled at the university for more than six months;
- d. In unusual situations in which the content of file(s) poses the risk of harm either to one or more person(s) or to the university, the relevant department chairman or dean may direct the system administrator to copy any file(s) to a secure location not accessible by either the public or the file owner, and then delete the original file(s).



7. PHYSICAL AND TECHNOLOGY RESOURCES

Introduction

The university provides an extensive range of computing and networking facilities for use by faculty, and students. These facilities are provided to faculty staff and students to conduct the academic and administrative pursuits. To assist users in obtaining the maximum benefit from these facilities, a range of support services is also provided. The following set of rules provides a guideline of acceptable behavior expected of users of these facilities.

7. a. Equipment and Software Replacement Policy

Each employee is responsible for taking reasonable safety precautions in regard to AAU-owned computer equipment. Employees will be held responsible for damage to such equipment arising out of their negligence or intentional misconduct.

- All computers at AAU are maintained in-house by the IT Department. If faculty or staff faces any problems with their computers, they are to place a request on the Help Desk or call the IT staff for assistance. Arrangements will be made to solve the problem. It's not allowed taking the computer outside ITC for maintenance by faculty and staff.
- The IT Department is responsible for the installation, configuring and place ITC policy on all computers at AAU. It is not allowed to change computer name, ITC policy or installing any software without permission from the IT Center.
- Under no circumstances may anyone use non genuine software. In case faculty or staff needs special software not available at ITC, they should place a request to order this software.
- In order to qualify for access to AAU network, the laptop must meet the following conditions: network security setting including wireless services, installing firewall and antivirus. All computers should be reviewed by IT team to make sure that all setting is applied to computer.
- The user of the laptop is responsible for keeping their anti-virus scanning software up-to-date at all times. It is strongly recommended that they update their anti-virus software before leaving AAU Campus. ITC recommend Symantec anti-virus, its free for AAU Computers.
- The ITC reserves the right to deny the access to AAU network for segment (group of computers) or one computer in case they didn't properly configured and certified, installed antivirus, install firewall or when the computer broadcast viruses over AAU network

7. b. Health and Safety Policy

1. Introduction

Al Ain University of Science and Technology (AAU) is committed to achieving and maintaining the highest practicable standards of occupational health and safety for the welfare of students, employees and any one from the public who has entry to the university campus(s). The university has the responsibility under its '**duty of care**' to provide as far as is practicable:

- A safe place of work;
- Safe systems of work;

- Safe tools and equipments;
- Ongoing training in safe methods of work;
- Safe, positive supervision at all levels;
- Periodic inspection of all university physical assets and activities;
- Investigation of all accidents, reporting of all hazards and implementation of all practicable control measures to protect people and property;
- Encouragement to staff and students to implement sound health and safety principles in all their activities.

The university requires all staff, students, and visitors to act responsibly and to comply with statutory requirements and all **safety policies, standards and guidelines**.

2. Area

The area covered by these regulations includes the whole campus(s) of AAU and any area outside the campus(s) covered by its activities

3. AAU Health and Safety Policy Statement

Accidents are less likely in a tidy campus and one in which everyone behaves in an orderly manner. The university expects all staff and students to contribute to the maintenance of this policy by adhering to such regulations as are in force, by reporting **hazards, accidents and inadequacies** in the working environment to the person responsible. Each member of staff has a personal responsibility for their own health and safety and for the health and safety of those who may be affected by their activities.

3.1 It is the policy of the AAU to ensure, so far as it is reasonably practicable the health, safety and welfare at work of:

- a.** All its employees while they are engaged in their daily activities;
- b.** All students while they are engaged in activities those are under the supervision of the university;
- c.** Members of the general public who have access to the university property;

3.2 The policy stated above will be enacted through the following:

- a.** A health and safety policy document including the university's safety code that contains the arrangements and organization for health and safety;
- b.** Local safety rules as are approved by the university council and issued to departments for appropriate distribution;
- c.** Departmental safety regulations;
- d.** University safety services' guidance notes;
- e.** It is the duty of all staff and students to abide by the said code, rules and regulations.

3.3 Within the general policy stated above, it is the university's policy in particular:

- a.** To provide and maintain accommodation, equipment, services and systems of work which are, so far as is reasonably practicable, safe and without risks to health;
- b.** To make arrangements for ensuring, so far as is reasonably practicable, safety and absence of risks to health in connection with the use, handling, storage and transport of articles and substances;
- c.** To provide such information, instruction, training and/or supervision as is necessary to ensure, so far as is reasonably practicable, the health and safety of the persons detailed above;
- d.** To provide and maintain such protective equipment and clothing as is necessary to ensure, so far as is reasonably practicable, the health and safety at work of its staff and students;
- e.** To encourage staff to set a high standard of safety by personal example in order that students leaving the university should take with them an attitude of mind which accepts good safety practice as normal.

4. First Aid

4.1 All laboratory staff shall be trained in first aid; any one requiring assistance should contact one of them. Every laboratory or workshop is supplied with a first aid unit;

4.2 In the event of **accident/illness** telephone extension (xxx) or (yyy) giving your name, department and exact location of the incident and nature of the accident/illness. If a doctor is required, **do not move** the patient until the arrival of the ambulance men. Someone should accompany the patient to the hospital.

4.3 All accidents **must** be reported as soon as possible to the **safety officer**.

5. Fire

5.1 The fire regulations shall be displayed in the corridors and laboratories should be strictly adhered to.

5.2 The fire alarm is a loud continuous siren; the drills to be followed in the event of a fire are mandatory, when you hear the alarm, adhere strictly to the following instructions:

- 1.** Evacuate the building immediately through the nearest exit;
- 2.** Do not stop to collect belongings;
- 3.** Do not use lifts, use the nearest stairs;
- 4.** Proceed away from the building;
- 5.** Do not re-enter the building until instructed by the security staff.

a. In the event of a fire being discovered:

- 1) Leave the room, close the door and raise the alarm by activating the nearest "break-glass" fire alarm call point or by informing the security staff (extension xxx);

- 2) If it is safe to do so, switch off equipment that appears to be on fire. Familiarize yourself with the location of any master switches;
- 3) If it is safe to do so, use the correct type of fire extinguisher or hose reel to attack the fire. **DO NOT USE WATER WHERE ELECTRICAL EQUIPMENT OR FLAMMABLE LIQUIDS ARE INVOLVED.**
 - b. Make sure that you are familiar with every escape route in the building. Know the location and purpose of the fire extinguishers. Exit by a different route at each drill. Do not re-enter the building until authorized by the security staff.
 - c. Special attention should be paid to electrical equipment. Papers, chairs, briefcases, etc. should not be allowed to rest against them.
 - d. The university has a strict code of practice on smoking and you are required to refrain from smoking in all public areas of the university.

6. Safety Hazards

6.1 Computer Equipment

No one must use equipment that he / she has not been trained to use.

NO ONE OTHER THAN THOSE AUTHORISED BY THE HEAD OF DEPARTMENT SHOULD ATTEMPT TO REPAIR FAULTS OR TO REMOVE PANELS FROM EQUIPMENT.

All faults or suspected faults concerning computer equipment should be reported to the electronic workshop.

6.2 Electrical Equipment

- a. Do not overload power points;
- b. All appliances should be tested by a technician before use;
- c. Three pin plugs on domestic equipment should be inspected annually to avoid any loose contact;
- b. Work should only be undertaken on live equipment by suitably qualified personnel and then only when absolutely necessary.
- c. Electric shock.

All staff and students must familiarize themselves with the procedure for dealing with cases of electric shock. These procedures shall be displayed on notices at the laboratories. In particular, no-one should ever touch a person who has received an electric shock until they are absolutely certain that either the source of supply has been isolated or the person is no longer energized by it.

6.3 Mechanical Workshop Equipment

Use of equipment in the mechanical workshop is restricted to departmental technicians or persons authorized (in writing) by the head of department to perform a specific task. All appropriate precautions must be taken, **as injury cannot only be caused by cutting and impact but also by clothing and hair being drawn into machinery**. All safety guards on machinery must be correctly fitted and functioning as specified by the manufacturer and must be used at all times. Machine operation must be accompanied by the wearing of appropriate protective clothing including where necessary safety glasses, ear protection, etc.

6.4 Flammable Liquid

Such liquids must be stored in the metal cupboards in the workshop or laboratories. All cigarettes, cigars and pipes must be extinguished before such materials are used.

6.5 Dangerous Chemicals

Chemicals like acids or those used in making printed circuit boards must be kept in clearly labeled suitable containers. Note the following chemicals that are kept in the stores or laboratories, their location and the hazard involved should be labeled according to the degree of danger they might impose:

Very Harmful

Harmful

Highly Flammable

The use of such hazardous materials is subject to appropriate risk assessment.

6.6 Lifts In the event of being trapped in one of the lifts dial extension (xxx) and ask for help.

6.7 Radiation The code of practice for protection from ionizing radiation issued by the Ministry of Electricity and Water shall be followed.

7. Disabled Persons

Disabled persons should not be permitted above level one in the university building. From time to time the department may have a disabled student, staff member or visitor whose wellbeing in the event of a fire alarm or other unusual situation will need special consideration.

If you expect to be teaching or studying alongside a disabled person you should ensure that you are familiar with any special procedures or arrangements that have been made for his/her safety.

8. *Late working*

8.1 Regulations governing entrance to buildings of the university is displayed at the main entrance.

Academic, academic related and senior administrative staff has automatic entrance at all times;

8.2 A person granted rights of access to the building beyond the normal hours; must inform the security guard of his/her intentions to enter, remain in, or leave the premises by phoning the control room or by signing the log book at the control room;

- a. For others who wish access beyond the normal hours (after 5.00 pm on weekdays or any time at week-ends or university holidays) they must be in possession of the appropriate **card** giving the permission to do so; these cards (**authorized card**) are available at the safety office;
- b. Buildings are locked at 10.00 pm, working after this time is only permitted to person(s) having a **duly authorized card**;
- c. Any suspicious circumstances or persons should be reported to **security control** on extension (xxx);
- d. Students should carry their registration card with them at all times as a means of identification.

8.3 Anyone using one of the university facilities on his/her own beyond the normal hours; should consider the dangers inherent in working late with no one else present. It is recommended that **no less** than two people are present in laboratories, etc., when working late and staff are requested to draw students' attention to this recommendation;

8.4 egrettably security is a problem at all times within the university; everybody is advised to look after his/her personal possessions with care and not to leave them unattended.

9. *Structure of the Building*

Structural faults in the building and damage to furnishings and fixtures should be brought to the attention of **safety officer**.

10. *Accident Reporting*

All accidents (no matter how trivial they may seem) must be reported to the safety office.

11. *Safety Training*

11.1 All technical staff in AAU are required to attend a course on the university's safety policy and fire prevention.

11.2 Each member of the university staff, academic and nonacademic must read this document carefully and comply with it.

7. c. Data Security Policy

The university makes available to users, both internal and external, a range of data and information facilities.

1. The University accepts no responsibility for any damage or loss of data arising directly or indirectly from the use of any of these facilities or for any consequential loss or damage;
2. The University makes no warranty regarding the computing facilities offered;
3. The University cannot guarantee the confidentiality of any data stored on any university computer system or transmitted through any network;
4. The University's liability in the event of any loss or damage shall be limited to the fees and charges paid to the University for the use of the computing facilities, which resulted in the loss or damage.

7. d. Policy on Appropriate Use of Technology Resources

Use of University Computing Facilities

The university's computing facilities are provided on a basis of trust that all users will respect the rights of others and not interfere, or attempt to interfere, with systems to which they have not been granted access. The following rules are a guide for the use of the university computing facilities.

- a. You may only use university-computing facilities, which you have been authorized to use;
- b. You may only use university computing facilities for authorized purposes;
- c. You may not make the access password certain facilities available to any other person;
- d. You must not use an account set up for another user nor make any attempt to find out the password of a facility, which you are not entitled to use;
- e. You must respect the privacy and confidentiality of data held on, or reproduced from, the university's computing facilities;
- f. You may not attempt to copy data belonging to other users, staff, students or external users, without their express permission;
- g. You must, upon request by an authorized member of staff, produce evidence of identity when using any of the university's computing facilities;
- h. You must not abuse any of the computer laboratories;
- i. You must abide by any relevant instructions given by the **IT** officer or nominee;
- j. You must not to waste computer resources;
- k. Computer games are strictly forbidden in the laboratory;
- l. Malicious computer programs, (e.g., computer viruses, worms, etc.) are prohibited;
- m. If you do become aware of any breach in the security pertaining to the university's computing facilities you must report such to **IT** services desk without delay;
- n. If you have any doubt concerning your authority to use any computing or communications facility, you should seek advice from the **IT** service desk.

Hardware

- a.** Users may neither disconnect nor connect hardware on general-use computers;
- b.** It is prohibited for users to move hardware from one machine to another. When it is desirable to move hardware, contact a staff member;
- c.** Users should not switch off hardware (e.g., printer, computer, and monitor) that is connected to a network, because it may cause failure of the network or inconvenience to other users of the network. The one exception is when it appears that there is a fire inside the equipment.

E-mail/ Web Site

- a.** Using e-mail by students is restricted to communication with their colleagues and instructors;
- b.** **It is Prohibited** send to e-mail or posting a webpage with intent to harm a particular individual;
- c.** **It is Prohibited** forge someone else's name to an e-mail or a webpage;
- d.** **It is Prohibited** forge an e-mail address or to include false information in an e-mail header;
- e.** No use of university's website or e-mail for personal financial gain, such as offering or selling either services or products;
- f.** **It is Prohibited** send bulk e-mail to people;
- g.** No use of university's website or e-mail for partisan political purposes;
- h.** **It is Prohibited** post a webpage that is a copy of a work by another person, without first obtaining written permission of the copyright owner;
- j.** **It is Prohibited** misuse trademark(s) in web pages and e-mail:
 - (1)** University-owned trademarks, including the university logo or seal;
 - (2)** Trademarks owned by other corporations.

Copyright Policy

The purchase or lease of computer software provides a license to use the software, together with a copy of the software and associated documentation. The title of the software remains with the copyright owner, who is entitled, subject to copyright act, to place conditions upon the use of the software.



8. Fiscal Resources

8. a. External Audit

The Board of Trustees appoints annually an External Auditor to audit the financial statements of the university and reports to the Board of trustees whether in his / her opinion the financial statements give a true and fair view of the state of the financial affairs of the university and its related bodies and subsidiary companies on the balance sheet date, and of their income and expenditure for the year then ended.

- (1) The University External Auditor has unrestricted right of access to all vouchers, documents, books of account, computer data, premises and any other information;
- (2) The University External Auditor has the right to verify assets and to have direct access to any employee or person responsible for the administration or management of university funds with whom it is felt necessary to raise and discuss such matters;
- (3) The University External Auditor has the authority to obtain any information and explanations considered necessary by them;
- (4) The University External Auditor may visit any budgetary unit.

8. b. Financial Policy

1. Revenues

No person shall receive a degree or any other document from the University unless he/she has paid all the sums due from him/her to the university.

2. Receipts

The university is usually receiving the collected fees either by cash, checks or credit card payments; however, an official receipt voucher shall be issued for every single payment received from the payee.

3. Deposits

All cash and checks collected should be deposited in the appointed bank account of the university covering all types of payments received in a daily basis according to its due dates.

4. Expenditures

The university is committed to pay all the dues according to the applied rules and regulations referred in the contracts and agreements to cover all the approved budgetary expenses which may include:

- Staff salary and benefits
- Accommodation and furniture
- Travelling and tickets allowance
- Position allowance
- Education allowance
- Scientific research expenses
- Scientific and computer labs
- Fixed assets expenses

- Projects and seminars expenses
- All other expenses not referred above

5. Authority to enter into contracts

Although it depends entirely on the nature of the contracts, generally speaking, the Chancellor, President, Vice President, Human Resources Manager, and Financial Manager are all considered authorized to enter into contracts as needed.

6. Bank reconciliation

Day to day bank reconciliation should be applied to match between the bank statement received from the bank and the bank statement of the university books, any awarded transaction should be clarified directly from the concerned party.

7. Production of regular financial reports

Regular financial reports shall be issued occasionally on the basis of the fiscal period as per the accounting standards.

8. Distribution of the financial reports

The financial reports are distributed to the Chairman of the Board of Trustees, the Chancellor, the Board of Trustees, the President, the Vice President, and the Deans' Council for reviewing.

9. Internal auditing

The internal Audit Section reports directly to the University President and responsible for: (1) Carrying out an independent appraisal of the internal control systems of the university's activities, financial and otherwise; (2) Providing service to all levels of management by evaluating and reporting to them the effectiveness of the controls for which they are responsible; (3) Providing advice concerning controls and other matters in the development of systems but does not have direct responsibility for the development, implementation, or operation of systems. The internal audit section has unrestricted right of access to all vouchers, documents, books of account, computer data, and any other information which it considers relevant to its inquiries and which is necessary to fulfill its responsibilities. This includes the right to verify assets and to have direct access to any employee or person responsible for the administration or management of university funds with whom it is felt necessary to raise and discuss such matters.

8. c. Purchasing and Inventory Control

- a.** Each head of a budgetary unit is responsible for establishing procedures to ensure that goods and services are ordered only in required quantities of suitable quality at the best terms available, after appropriate requisition and approval. Order forms should refer to the university's standard terms and conditions of business;

- b.** Procedures must be in place to ensure that goods and services received are inspected and only properly ordered items are accepted before invoices are authorized;
- c.** Invoices must be properly recorded;
- d.** Duties of staff should be segregated wherever possible so that more than one member records and processes each transaction. Where only one member of staff is available procedures for regular independent checks of transactions should be in place;
- e.** Orders may be placed only when funds are available to pay for them;
- f.** Each head of a budgetary unit must supply the finance division with a register of authorized signatures for the authorizing of documents for payment
 - The register may have limits to any individual's authority;
 - Each entry on the register must be signed or initialed by the unit head;
 - Where the proposed authorized signatory is not a university employee, the approval of the Director Of Financial Affairs is also required;
 - The register must be kept up to date.
- g.** The Central Purchasing Committee should be consulted for advice and information on all purchasing matters including centrally negotiated purchasing arrangements, to ensure that value for money is obtained.

8. d. Cash management Policy

Safeguarding AAU's funds is of paramount importance; therefore AAU has set adequate policies and procedures to ensure the receipt, and handling of the University's funds falls within the AAU general financial policies. Strict measures have been put in place for documenting and receipting all cash and deposits, while also ensuring that cash is transferred to the AAU bank account on a daily basis.

8. e. Risk Management Policy

Any academic institution is subject to various types of risk. Risk management is directed towards effective management of potential opportunities and adverse effects within the AAU. Risk management also provides a system to assess priorities within competing demand on limited resources. Consequently, AAU acknowledges that the adoption of a strategic and formal approach to risk management will improve decision-making, enhance outcomes and accountability. This policy document explains University's underlying approach to risk management. The aim of this policy is not to eliminate risk, rather to manage the risks involved in all University activities to maximize opportunities and minimize adversity. It forms part of the University's internal control and governance arrangements. It gives key aspects of the risk management process, and identifies the main reporting procedures. In addition, the policy describes the process that will be used to evaluate the effectiveness of AAU internal control procedures. The policy is reviewed and approved by the University Council.

For risk management to be effective:

- It should have a strategic focus
- It should ensure forward thinking and active approaches to management,
- It should maintain balance between cost and benefits
- It should ensure contingency planning in the event that mission critical threats are realized.

Approach to risk management

Every faculty/ staff member of the University is responsible for the effective management of risk including the identification of potential risks. Risk Management Committee is responsible for the development of risk mitigation plans and the implementation of risk reduction strategies. Risk management processes will be integrated with the internal control system of the University. AAU approach to risk management is governed by the following main principles:

- Since the University Council is viewed as being the principal executive and policy-making body of the University, the Council is responsible for risk management.
- The University Council will have the responsibility of maintaining a sound internal control system that ensures policy implementation and safeguards AAU funds and assets.
- AAU ensures transparency when solving risk problems.
- A Risk Management Committee is formed annually to advise the Council on risk management
- The University will make a prudent recognition and disclosure of the financial and non-financial implications of risks
- University colleges and heads of departments are responsible for encouraging and implementing good risk management practice within their colleges and departments.
- When possible, a risk prevention policy will be adopted to minimize the chances of risk occurrence or to minimize the impact of risk in case of occurrence.

8. f. Auxiliary Enterprises Policy

AAU provides a number of income-generating services operated by AAU apart from accredited programs. The purpose of these services is to ensure students find all the requirements for an appropriate, comfortable learning environment. These services include residence halls, transportation services, the bookshop, cafeterias, etc. These services adhere to the same budget and reporting practices as the rest of AAU with revenues and costs being accounted for separately and included in regular financial reporting.



9. Public Disclosure and Integrity

9. a. Conflict of Interest Policy

Faculty members are in obligation to avoid any situation where their personal interests conflict or could be interpreted as being in conflict, with those of AAU.

9. b. Copyright and Intellectual Property Policy

Al Ain University advocates the ownership of intellectual material as stipulated by copyright laws. Faculty members have the obligation to comply with AAU's *Copyright Policy* (detailed below).

Copyright Policy

Copyrighted work emphasizes AAU mission of contributing to the body of knowledge. AAU is committed to providing an environment that supports the research and teaching activities of its faculty, students, and staff. As a matter of principle and practice, AAU encourages faculty, students, and staff to engage in free expression, the exchange of ideas, and the development of original works of authorship. Accordingly, this Copyright Policy has been prepared. The intention of the Copyright Policy is to promote and encourage excellence and innovation in teaching and research by identifying and protecting the rights of the University employees. This Policy emphasizes the main academic practice, which provides copyright ownership to faculty, students and staff for their copyrighted works which provides the University ownership of its employment-related works. The University Council has responsibility for all copyrights in which the University is involved.

Purpose and Scope

This statement sets forth the University's Policy on the Copyright Ownership for works produced at AAU campuses. This Policy applies to University faculty, students, staff and other persons or entities using designated University facilities or acting under contract with the University for Commissioned Work.

Definitions

For the purpose of this Policy, the following definitions will be employed:

Copyright

Copyright is the intangible property right granted for an original work fixed in a tangible form of expression. Copyright provides creators of "original works of authorship" with an exclusive set of rights to copy, reproduce, distribute, and perform their works.

Copyrightable

Works include the following categories:

- I. Literary works, i.e., fiction, non-fiction, textbooks, biographies, and other scholarly works;
- II. Software;
- III. Motion pictures and other Audiovisual works;
- IV. Sound recordings.

Not Copyrightable

Facts cannot be copyrighted. Factual information is in the public domain; so an author can use facts, whether correct or incorrect. Copyright permission extends only to an author's expression of facts and not the facts themselves. The following items or works are not copyrightable:

- I.** Words and short phrases such as names, titles, and slogans;
- II.** Familiar symbols or designs;
- III.** Mere variations of typographic ornamentation, lettering, coloring;
- IV.** Mere listing of ingredients or contents;
- V.** Ideas, plans, methods, systems or devices;
- VI.** Blank forms, account books, bank checks, diaries, graph paper, order forms, report forms, scorecards, and timecards.

Rights of the Copyright Owner

The copyright owner has the following basic rights:

- I.** reproduce the work
- II.** prepare derivative works
- III.** perform the work
- IV.** display the work
- V.** distribute the work

Fair Use

Fair use is the reason used by educators to copying for teaching purposes. Since AAU is a nonprofit organization and the copying is done to teach students, fair use is often used as an excuse for copying, rather than a well thought out reason for copying. The following factors can be used to determine whether the copying is classified as fair use. All factors must be satisfied before copying any material. No factor is given more weight over another. However, while more emphasis is placed on the last factor, less importance is attached to the second factor.

- I.** The purpose for using copied work: Whether the copying is of a commercial nature or is for nonprofit educational purposes, the purpose for copying must fall into the categories of teaching or research.
- II.** The nature of the copied work: Copying news magazine articles (factual) is more likely to be allowed under fair use than copying a short story (creative).
- III.** The amount and the portion of copied work in relation to the work as a whole: Copying a large portion of a work or the essence of a work is considered an infringement.
- IV.** The effect of copying on the value of the copyright and its potential market: If the copying is not specifically prohibited, it may be allowed under fair use

Designated Academic Appointees

These appointees are University employees who have a general obligation to produce scholarly/aesthetic works. Included are all appointees as faculty members and/or in professional research.

Independent Academic Effort

Inquiry, investigation, or research carried out by designated academic appointees to advance knowledge is determined by the designated academic appointee without direct assignment or supervision by the University. The general obligation of designated academic appointees to produce scholarly/aesthetic works is considered independent academic effort.

License

A contract in which a copyright owner grants to another permission to exercise one or more of the rights under copyright.

Originator(s)

One who produces a work on his/ her own. When there is more than one originator, the ownership of each originator's contribution shall be considered separately pursuant to this Policy.

Permissible Consulting Activities

Professional or scholarly services provided by University employees for fees, which do not interfere with regular University duties, do not utilize University resources, and are not prohibited by terms of the University employment contract or other applicable University agreements or policies.

Royalties

A payment made to an owner of a copyright for the privilege of practicing in a copyright.

Sponsor

Sponsor is an individual, organization or agency which provides funding, equipment, or other support for the University or faculty member(s) to conduct research, training, or public service pursuant to a written agreement. Sponsors can be individual funds, government agencies, or private organizations.

University Facilities

Buildings, equipment, and other facilities under the control of the University, such facilities normally include campus computer centers and normally do not include University libraries.

University Funds

Funds available to the University and are administered under the control, responsibility, or authority of the University.

Copyright Ownership by Category of Work

Scholarly/Aesthetic Work

A scholarly/aesthetic work is an independent work undertaken by a designated academic appointee. The academic appointee originator is entitled to the ownership of copyrights of scholarly/aesthetic works unless they are sponsored works or contracted facilities works, or unless

the designated academic appointee agrees to participate in a project which has special provisions on copyright ownership.

Institutional Work

Except as otherwise provided in this Policy, AAU owns all copyrights to works carried out by AAU employees within their regular employment and owns all copyrights to works carried out with the use of AAU resources.

Personal Work

A personal work is a work that is obtained without the use of the University's name and carried out outside the course and scope of University employment (except for permissible non-University consulting activities) without using University Resources. Hence, the originator will be owner of the copyright.

Student Work

A student work is a work produced by a student registered in the University without using University funds, other than student financial aid, that is produced outside any University employment, and is not a sponsored, contracted facilities, or commissioned work. Hence, the originator will be owner of the copyright.

Sponsored Work

A sponsored work is a work first produced by or through the University in the performance of a written agreement between the University and a sponsor. Sponsored works do not include journal articles, lectures, books or other copyrighted works created through independent academic effort and based on the findings of the sponsored project, unless the sponsored agreement states otherwise. The University will have the ownership of copyrights to sponsored works unless the sponsored agreement states otherwise.

Commissioned Work

A commissioned work is a work produced for the University by individuals not employed by the AAU or by AAU employees outside their regular University employment. Copyright ownership shall be specified in a written agreement. Any such agreement which provides for ownership by other than the University, generally shall provide the University with a free-of-cost, nonexclusive, world-wide license to use and reproduce the copyrighted work for education and research purposes.

Contracted Facilities Work

A contracted facilities work is a work produced by individuals not employed by the AAU or by AAU employees outside their regular University employment, using designated University facilities in accordance with a written agreement. Ownership of copyrights to contracted facilities work is decided by the agreement signed between AAU and the individual(s).

Copyright Ownership of Joint Work

Copyright ownership of joint works is determined by assessing the category of work of each participant as mentioned in the previous section (D) together with the agreement between the authors.

Copyright Agreement and Notification

Copyright work undertaken by non-University employees or university employees outside the University should be governed by a written agreement that specifies the nature of copyrighted work. A University employee undertaking work outside the University and using the University's facilities should notify the University to secure an agreement. University employee(s) participating in a sponsored work must have an agreement with AAU that acknowledges individual(s) responsibility to carry out and deliver sponsored works to the sponsor, as required by the terms of contract signed with the sponsor and the University when needed. The agreement should also acknowledge copyright ownership of sponsored works. A faculty member, staff, or student who participates in a University project that may have copyright ownership requirements other than that provided in Section (D) of this Policy must sign an agreement indicating his or her acceptance to the conditions associated with the project.

Relinquishing a University Copyright

The University may give up its ownership rights in copyrighted works to the originator(s) if this serves the best interest of University. Giving up the right should be contingent on the agreement with the related parties that the University is not part of the copyrighted work and no further effort on, or development of, the work will be made using University resources and that the University is granted a free-of-cost, nonexclusive, worldwide license to use and reproduce the work for education and research purposes.

Licensing and Royalties

The University may assign or license its copyrights to others. Royalty or income received from such transactions may be shared with the originator(s) of such works according to an agreement.

9. c. Teach-out Policy

AAU is committed to providing all enrolled students with quality education throughout the duration of study at AAU. If, due to unforeseen circumstances, any of the accredited programs is discontinued, AAU undertakes to allow students enrolled at that program to complete all the courses leading to their graduation.

9.d. Publications Policy

In line with the requirements of the Ministry of Higher Education and Scientific Research's regulations, and for the purposes of facilitating work and study for the entire AAU community, AAU upholds preparing, updating and publishing a number of handbooks and documents periodically. These include:

- Policies and Procedures Manual
- Quality Assurance Manual
- Student Handbook
- Faculty Member Handbook
- Staff Handbook
- University Catalog
- Study Plans and Guidance Plan Handbook

These handbooks are published in print and are also available in electronic format on the AAU website. The AAU administration ensures that the documents include all regulations pertaining to students, faculty, staff, academic programs, etc. and that they are up to date. Moreover, the AAU website presents comprehensive information on all matters pertaining to students and educational programs, and offers several services including online registration.

9.e. Institutional Relations Policy

Public Relations Office

AAU has designated the Public Relations Office to handle all communication with internal and external offices as well as media relations. The Public Relations Office has the AAU's reputation and image as its paramount priority. It supports and maintains the educational and research activities of the University through the coordination and facilitation of communication with the community as well as developing and maintaining contacts. It communicates on behalf of AAU with the media and the public in a variety of means: broadcast, electronic and print media. The PR Office is mainly responsible for gathering AAU news and feature information and writing press releases. It updates the AAU website and monitors AAU's communications through the social networking media. Moreover, the PR Office is involved in all events organized by AAU or in which the University takes part with regard to media coverage as well as preparing and editing all promotional materials. It organizes external promotional campaigns and oversees the printing of University documents i.e. handbooks, catalogs, guides, brochures, cards, etc.



10. RESEARCH

11. a. Ethical Issues

Ethical Considerations:

Research ethics involve the application of moral rules and professional codes of conduct to the collection, analysis, reporting, and publication of information about research subjects, in particular active acceptance of subjects' right to privacy, confidentiality, and informed consent. The University adheres to ethical norms in research for five reasons. First, ethical norms promote the aims of research, such as knowledge, truth, and avoidance of error. Second, ethical standards promote the values that are essential to collaborative work, such as trust, accountability, mutual respect, and fairness. Third, ethical norms may help to ensure that researchers can be held accountable to the public. Fourth, ethical norms may help the University to build public support for research. Finally, ethical norms in research promote a variety of other important moral and social values, such as social responsibility, human rights, and animal welfare, compliance with the law, and health and safety. In general, common ethical research norms include:

- **Honesty:** involves honestly reporting data, results, methods and procedures, and publication status without fabrication, falsifying or misrepresenting data.
- **Objectivity:** implies avoiding bias and any self-deception in experimental design, data analysis, data interpretation, peer review, personnel decisions, grant writing, expert testimony, and other aspects of research where objectivity is expected or required.
- **Carefulness:** involves avoiding careless errors and negligence; carefully and critically examine your own work and the work of your peers. Keep good records of research activities, such as data collection, research design, and correspondence with agencies or journals.
- **Respect for Intellectual Property:** honor patents, copyrights, and other forms of intellectual property. Do not use unpublished data, methods, or results without permission. Give credit where credit is due.
- **Confidentiality:** protect confidential communications, such as papers or grants submitted for publication, personnel records, trade or military secrets, and patient records.
- **Responsible Publication:** publish in order to advance research and scholarship, not to advance just your own career. Avoid wasteful and duplicative publication.
- **Competence:** maintain and improve your own professional competence and expertise through lifelong education and learning; take steps to promote competence in science as a whole.
- **Legality:** Know and obey relevant laws and institutional and governmental policies.
- **Openness:** share data, results ideas, tools, and resources.

Regulations on the use of human and animal subjects

Responsibilities for research integrity are shared by individual researchers and the institution, and will be the subject of further development at AAU. Clearance must be sought by the college deanship for conducting animal studies. Generally, the clearance is approved if the experiment is justified and that an alternative *in vitro* testing will not be adequate to answer

the research question. Animal clearances are granted when they are in confirmation with the International guidelines of experimental animal care; “Principles of Laboratory Animal Care”. Although human research that involves interventional therapy is not currently in practice within the institution, several observational researches are carried out. In such case, patient informed consent form prepared by the concerned hospital allow the use of patient data after their consent. In the future, researches that involve interventional therapy will require consulting the policy given by HAAD "Policy Governing Research Involving Human Subjects" which addresses the ethics for conducting human subject research and the approval requirement from Research Ethics Committee. At AAU, such committee has not been established yet due to current limitation of applicability. Any future plan to conduct human subject research will be justified and in accordance with international codes and ethics including the Nuremberg Code; the World Medical Association Declaration of Helsinki: Ethical Principles for Medical Research Involving Human Subjects; and the Belmont Report: Ethical Principles and Guidelines for the Protection of Human Subjects.

10. b. Research Policy

Research Support

Providing research support services is the key administrative function in any University dedicated to build up a new research capacity and to maintain continued growth in its ongoing research capacity that will maximize the impact of that research through knowledge transfer and related activities. The University is seeking to increase financial resources allocated to support scientific research. Recently, more successful efforts were made to develop an effective information system and equipment that meet the needs of researchers. Some substantial efforts are also made to select qualified faculty members capable of conducting high quality research. The University provides the following forms of research support:

- Provide financial support to researchers that covers travel, conference registration fees, reviews, software, publication fees, and other related expenses.
- Increase the number of funded research proposals supported by the University.
- Publication of a faculty research handbook and a detailed account of research activities by the Deanship of Scientific Research and Graduate Studies (DSRGS).
- Instituting annual awards for outstanding research work on college level.
- The DSRGS assists researchers in providing an access to research databases for improved productivity.
- Assist individual researchers locating and applying for suitable funding for their ideas from other funding agencies.

Policies and Procedures

The Dean of Scientific Research and Graduate Studies is responsible for the management of research. This, of course, includes provision of research support and the exercise of institutional-level responsibilities and functions in accordance with relevant University policies

and regulations. In addition, the dean prepares and implements the annual budget for the DSRGS.

Research policies and procedures can be outlined as:

- The research policy shall apply to all faculty members of the University, and other users of University resources.
- Research support is provided both for sustaining and promoting the research activities of established researchers, as well as for the development of budding researchers.
- Requests for support of research projects or activities are evaluated on the merits of the proposal, the merits of the applicant, the need for research capacity development, and the need to sustain existing research activities or capacity.
- All researchers and scholars are required to undertake research. In turn, the University is committed to support all research with appropriate resources where necessary.
- Researchers are free to conduct research in any area, provided that they adhere to the University's ethical principles.
- The University takes into account issues adhere to national, regional, and international priorities.
- All faculties are required to conduct research, and engage in scholarship and to publish their findings.
- Encourage cooperation of individuals with a broad range of expertise and the use of a wide variety of materials and equipment.

Research Expectations

AAU has expressed continued commitment to the institutional and program accreditation to reflect the quality by which it conducts its various programs. Accreditation provides students with assurance that the program in which they are enrolled or are considering enrolling is engaged in continuous review and improvement of its quality. On the other hand, it provides faculties with a formal process for ongoing evaluation and improvement of their program and faculty development outcomes, a process by which faculty, students and administration can work together in advancing the educational institution's mission. To promote research activities, the rules of promotion system and renewing contracts are designed to reflect the quality of performance in appropriate research, teaching, and community engagement. From the view point of AAU, the scholarly work honored is limited to working papers, proceedings, eventually refereed journal articles, and edited volumes. Research expectations will vary according to discipline and individual faculty preferences. The following list outlines some general faculty expectations:

- An individual faculty member is expected to have at least one refereed scholarly work per academic year

- With the exception of the college of Pharmacy, each faculty member must demonstrate the ability to work independently by submitting at least two sole author publications for promotion to associate professor or professor rank.
- Faculty members are given credit for coauthored work, but there is a clear expectation that the faculty member should have contributed significantly to the production of a given article.
- Each faculty member should have his or her own research agenda, and that research agenda should be connected to his field of specialty. Faculty members who do not have such a research agenda are simply not meeting their responsibility to the University.
- Because of the University commitment to accreditation, the management of the University is committed to an interpretation of scholarly growth consistent with the standards of accreditation standard.

Research Cooperation

The University is aware of the role of research cooperation as an important form of engagement that the University can offer to communities. This engagement will also help AAU to utilize research resources effectively; especially that some resources have often not been used in University partnerships. The research strengths can be integrated more fully into partnerships with communities in the following forms:

Cooperation with Universities

The University encourages field specific partnerships with national and international universities and research institutions to develop and extend research quality, recognizing that these should be based on mutual benefit. In addition, work with neighboring research focused institutions is also encouraged.

Cooperation between University and Industry

R&D cooperation between universities and industry is quite hard because it involves high uncertainty, high information use on asymmetries between partners, and high spillovers to other market actors. Despite these difficulties, AAU is willing to play an important role in the academic fields and research central to businesses, that is, natural sciences, technology and economics.

Cooperation with Public Sector

The University encourages research cooperation with the public sector that includes collaboration through joint research projects, sponsored research, consultation and expert assistance. Other important forms of cooperation include University researchers' participation in conferences and workshops arranged by government and non-governmental organizations as well. Graduate students are also encouraged to conduct research related to public interest.



11. Community Engagement Policy

Overview

Al Ain University of Science and Technology assumes full responsibility toward the local community as well as the UAE community at large. To that end, among the strategies followed by the university in this regard is forming a Community Engagement committee at the university level chaired by the Dean of Student Affairs and which includes representatives from all colleges. This diversity comes to achieve the committee's objectives of actively interacting with the community in various fields and at all levels. The AAU Community Engagement committee seeks to achieve the highest level of community interaction so as to cover the needs of the community in line with the vision and objectives of the university, which are derived from the vision and objectives of the United Arab Emirates. Accordingly, AAU's community engagement policy branches into three overlapping directions: institutional engagement, employer engagement, and community relations.

11. a. Institutional engagement

The university forms a committee called the Community Engagement Committee at the university level; similarly, each college forms a parallel Community Engagement Committee at the college level. While each college plans its activities according to its specific specialization and interests, they all collaborate with one another and work under the umbrella of the AAU committee. Moreover, the annual evaluation of faculty members and administrative professionals includes criteria related to the extent of their participation in community work. The purpose of these standards is to encourage faculty members and administrative professionals to effectively interact with the community.

At the beginning of every semester, the Community Engagement Committee prepares a plan of the activities to be carried out and events in which to participate. Once the Deans' Council approves the plan, it is circulated among faculty members for feedback and for ideas to help execute the plan in the best way possible. Although the plan includes all intended activities, a level of flexibility is maintained to accommodate fresh ideas from the AAU faculty and staff as well as the wider community.

Throughout the semester the plan is monitored to identify the areas of strength and ideas for future improvement.

When selecting events and setting the AAU plan, the Community Engagement Committee considers activities that contribute directly to the community. The committee also seeks to identify the needs of the community and to meet them.

11. b. Employer Engagement

The Community Engagement Committee interacts with entities that are involved in the development and evaluation of curricula in order to exchange experiences in this area. The university also interacts effectively with the different sectors in order to open channels for students for hands-on training and take advantage of external expertise during this training. The practicum courses in the various colleges are designed with this purpose in mind. Students at the colleges of Engineering and Information Technology, Pharmacy, Law, Education, and Business Administration all are assigned to complete a certain number of hours in different locations in the various organizations and circles of society. On the other hand, the university arranges for students to participate in scientific conferences and seminars where they are given the opportunity to enhance their knowledge and exchange different experiences. Further, through the Community Engagement Committee, AAU is also keen to continuously communicate with the various organizations, departments and entities in the UAE, whether in the education, health or economic sector. The purpose of this communication is to provide different volunteer services where the AAU faculty members and administrative professionals deliver lectures, workshops, and training courses in different fields to transfer the knowledge and experience they have acquired to the different sectors; similarly, entities from the public community are invited to deliver lectures and workshops on campus for the AAU community to benefit from.

11. c. Community Relations

The University believes in the importance of harmony between AAU activities and the activities organized in the community. With this in mind, the Committee welcomes all the entities that want to visit to the university, and it communicates with them in a variety of fields. When the Committee receives invitations and requests from public and private organizations, and upon obtaining the necessary approvals, the invitations are forwarded to the concerned AAU colleges, units, and departments. The AAU Community Engagement Committee identifies the required preparations, including the participation of faculty members, administrative staff, as well as students. Whether it is to contribute to the organization of specific events, participate in activities, or present at conferences and seminars, AAU takes part in all activities that strengthen the University's bond with the local community and the UAE community at large. Maintaining interaction in such ways contributes to communicating the AAU's academic vision of rendering services that benefit the local community as well as reinforcing the important values of cooperation, solidarity, responsibility, self-reliance, leadership, and team-spirit among students. Furthermore, AAU seeks to maintain open channels of communication with organizations in both the private public sectors and probes possibilities of cooperation to help meet and upgrade the standards of learning, research, or career development among students and faculty alike.